

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Confirmation No. 1464

Natsuki MAKINO et al.

Atty Docket No. 2004-0738

Serial No. 10/724,044

Group Art Unit 1753

Filed December 1, 2003

Mail Stop: PETITION

**ELECTROLYTIC PROCESSING APPARATUS** AND METHOD

#### PATENT OFFICE FEE TRANSMITTAL FORM

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

Attached hereto is a check in the amount of \$130.00 to cover Patent Office fees relating to filing the following attached papers:

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.

Respectfully submitted,

THE COMMISSIONER IS AUTHORIZED TO CHARGE ANY DEFICIENCY IN THE FEES FOR THIS PAPER TO DEPOSIT **ACCOUNT NO. 23-0975** 

Natsuki MAKINO et al.

Nils E. Pedersen

Registration No. 33,145 Attorney for Applicants

NEP/krg

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November 19, 2004

[Check No. 65244]

NOV 1.9 7004 EN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Confirmation No. 1464

Natsuki MAKINO et al. : Docket No. 2003 1739A

Serial No. 10/724,044 : Group Art Unit 1753

Filed December 1, 2003 : Mail Stop: PETITION

ELECTROLYTIC PROCESSING APPARATUS AND METHOD

#### PETITION FOR RETROACTIVE LICENSE UNDER 35 U.S.C. 184

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Applicants in the above-referenced U.S. patent hereby petition for a retroactive foreign filing license under 35 U.S.C. 184 and in accordance with 37 C.F.R. § 5.25 and 5.14(a).

The corresponding United States application, currently on file, for which this petition for license is sought is identified above by its application number, filing date, inventors and title. In accordance with 37 C.F.R. § 5.14, no copy of this material is, accordingly, attached. Applicants understand that the licensed subject matter will be measured by the disclosure of the above-referenced U.S. patent application.

The list of foreign countries in which the unlicensed patent application material was filed is as follows:

Japan

The material was filed in Japan on December 2, 2002 and on November 28, 2003.

Japanese patent application No. 2003-350529, the first filed application, was revised and refiled as application 2003-399443, the later filed application. The above-referenced U.S. patent application claims priority on both of these applications.

THE COMMISSIONER IS AUTHORIZED

11/22/2004 LWONDIM1 00000089 10724044

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THE COMMISSIONER IS AUTHORIZED TO CHARGE ANY DEFICIENCY IN THE FEES FOR THIS PAPER TO DEPOSIT ACCOUNT NO. 23-9975

Verified statements by Mr. Kenichi Sasabe and Mr. Yukio Fukanaga including the required parts identified in 37 C.F.R. § 5.25(3) are attached. Also attached are support documents referenced in their statements.

It is noted that many of the support documents are submitted to establish the simple fact of a communication or meeting, e.g., and not for the specific contents thereof. The contents have been redacted in many instances to protect confidential, proprietary, and trade secret information and to maintain privilege based on attorney-client communications and/or attorney work product. While some of the support documents are submitted to establish the fact of an attorney-client communication or attorney work product, the contents thereof have been redacted and no waiver of privilege is made or intended.

It is respectfully submitted that these statements make it clear that the subject matter in the present application was not under a secrecy order at the time it was filed in Japan, that it is not currently under a secrecy order, that the license has been diligently sought after discovery of the proscribed foreign filing and that the foreign filing without the required license under § 5.11 was through error and without deceptive intent.

Further, the fee set forth in § 1.17(h) is attached.

Accordingly, it is respectfully submitted that this petition is complete and proper, and the grant of the petition is requested.

Respectfully submitted,

Natsuki MAKIND et al.

Nils E. Pedersen

Registration No. 33,145 Attorney for Applicants

NEP/krg Washington, D.C. 20006-1021 Telephone (202) 721-8200 Facsimile (202) 721-8250 November 19, 2004



#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : Confirmation No. 1464

Natsuki MAKINO et al. : Docket No. 2003-1739A

Serial No. 10/724,044 : Group Art Unit 1753

Filed December 1, 2003

ELECTROLYTIC PROCESSING APPARATUS AND METHOD

# VERIFIED STATEMENT UNDER 37 C.F.R. 5.25(a)(3) IN SUPPORT OF PETITION FOR RETROACTIVE FOREIGN FILING LICENSE

**Commissioner for Patents** 

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

This statement is being made by Yukio Fukunaga of Ebara Corporation, the Assignee of U.S. Patent Application 10/724,044 referenced above. I was assigned as a team leader in Ebara of a Joint development project, which will be discussed below, in August 2002. I have personal knowledge of the acts regarding the filing of Japanese patent applications 2002-350529 and 2003-399443, which acts are discussed below. I am also attaching copies of a number of supporting documents, labeled and referenced herein as documents A-L.

Ebara Corporation began to study the feasability of a joint development program for the development of technology for plating and planarizing of copper interconnects on semiconductor substrates. This began in July 2002. Mutual presentations between Ebara and a US company as a potential joint development partner were made. Ebara made a presentation in July 2002 in US regarding their plating tool, which had been in development in Japan since 1998. Ebara made a demonstration using test wafers supplied by the US company in Japan and presented the test results to the US company and the US company made a presentation and an explanation of a very

limited disclosure of technological concepts that they intended to develop as part of the proposed joint development program. This disclosure took place in the United States in August of 2002, however, the joint development program agreement was not reached until August of 2003.

The inventors of the above-referenced U.S. patent application, Mr. Natsuki Makino and Mr. Junji Kunisawa, had been working in Japan on the electrolytic processing apparatus and method which is the subject matter of the Japanese patent applications.

In the fall of 2002 I instructed the inventors to prepare a draft of their disclosure and to send it to Ebara Intellectual Property Department with a request for the preparation of a patent application for filing in Japan directed to their invention. However, part of what became the first-filed Japanese patent application included material which arose out of presentations in the United States. At that time, I did not realize that the application we were preparing to file in Japan included material that was developed in the United States. While I understood that the invention for which we were filing an application in Japan related to the joint development project with our U.S. partner, I did not appreciate that the application that we were filing included material which could be said to constitute an invention made in the United States for which a foreign filing license should be sought before filing in Japan.

I sought to file the application quickly in Japan, because in Japan a patent it is issued to the first applicant that files for the invention. It is thus very important for the applicant to file as soon as possible after an invention is made. We had not reached any agreement with respect to the joint development project about how intellectual property was to be protected and in what manner patents might be sought so at that point I believed it was most important for us to proceed in Japan as soon as possible. It was not my intent to be deceptive on this point.

The attached documents A reference agenda and minutes of a pre-meeting I chaired on August 30 2002 for preparation of an in-house kick-off meeting. Makino and Kunisawa, who are the inventors of Japanese applications 2002-350529 and 2003-399443, were present at this meeting. These documents include a copy of memorandum of discussion on the tool specification based on discussion in a meeting held in the US between Ebara and the US company.

The attached documents B reference a copy of a white board used in an Ebara in-house meeting held on September 3, 2002 in Japan for discussing the tool specification and tool

schedule.

The attached documents C reference a copy of copyable board used at a meeting between Kunisawa, Makino, who are the inventors of Japanese applications 2002-350529 and 2003-399443, and Mr. Kosugi, a patent agent, who prepared the application document for the inventors based on the explanation given to him by the inventors. This meeting was held on November 18, 2002 in Japan.

The attached documents D reference the request for preparation of patent application for filing in Japan and the draft of the disclosure prepared by inventors Makino and Kunisawa to proceed with the filing of the application in Japan. I was aware that this application included a pad attached to a high resistant structure when I checked the draft made by the inventors and I knew that a pad disposed on the high resistant structure was shown in the presentation by our US partner in August 2002. As I knew a plating method using a pad at that time I did not think that using a pad disposed on a high resistance structure was their new idea. I also thought that if our US partner claims that the application should be a co-application, we could modify our application to include their inventors and to make the application a co-application between Ebara and our US partner. I had no knowledge that the invention made in US must be filed in US first at that time. It was approved by me and sent to IP department in the headquarters through Patent department in Precision machinery group.

Please also note the additional request for preparation of patent application referenced as documents E which involve my approval regarding the revision application of 2002-350529 filed on November 28 of 2003.

Please also note the additional request for preparation of foreign patent application referenced as documents F which I approved to file in US with priority date of Japanese filing date of 2002-350529. This application was filed in US application serial number 10/724044 on December 1, 2003.

At the time we filed these applications abroad, i.e. on December 2, 2002 and November 28, 2003, they were not under a secrecy order, and they are not currently under a secrecy order.

We began discussing these applications and the U.S. application for the U.S. joint development project partner in February of 2004. Before the meeting with our US partner, we discussed in Ebara and ETI on the applications and ownership based on the list. We noticed that

two of the applications might include information given by our US partner to Ebara in the meeting in August 2002. After discussing the contents of the applications in the meeting in February 2004, our US partner insisted that some the applications in the list included material that was developed by them in the United States. Because we had only a list of applications which included a plain abstract of each application at that time, we prepared full translations of the claims of each application and asked them to study which applications included material developed by them in the US. We agreed in March 2004 that these two applications 2002-350529 and 2003-399442 and the U.S. application for which this statement is prepared included material developed in US.

Please see the accompanying documents G which evidence the list of our patents discussed at the meeting on February 6, 2004. In a discussion in Ebara preparing this document, we found that #22 and #24 may include invention made by our US partner in US. We indicated on the list that these two applications might be co-applications between Ebara and our US partner.

Document H is minutes of the meeting between Ebara and our US partner on February 5 and 6, 2004 in US. Technical discussions, which contain confidential items between Ebara and our US partner, are redacted from this minutes and only IP issues are left on the document.

This discussion was mainly made between Mr. Sasabe, General manager of Patent department of Ebara, Mr. Musaka, Technical coordinator for Ebara of this joint development project, me, and engineers and an in-house attorney of the US partner.

Document I is a copy of an e-mail sent on March 9, 2004 by Mr. Musaka to a technical coordinator of our US partner of the JDP. Application #2 stands for Japanese application 2003-350529, #22 stands for 2003-399443.

Document J is a copy of an e-mail, which I sent to Mr. Musaka on May 7, 2004, asking not to agree to make some Japanese applications co-applications between Ebara and our US partner on a meeting held on May 7, 2004, because we were trying to get approval of Mr. Tsujimura on making them co-applications.

Document K is a copy of a meeting agenda and a copy of white board used at a meeting to investigate the history of these applications held on May 27, 2004 in Japan.

Document L is a copy of an e-mail from Mr. Musaka on June 10, 2004 reporting a result

of a meeting between the Project manager of the JDP of our US partner and Mr. Kimura, Project manager of the JDP of Ebara.

We reached an agreement in June 2004 about which applications in all the applications listed and presented by Ebara at the meeting in February 2004 included material that was developed by them in the United States. And, we agreed to a process to clarify the ownership of the invention before filing an application, except those clearly belonging to Ebara only, in the US first.

I have diligently sought this retroactive foreign filing license after I discovered that our foreign filings were in fact proscribed.

I declare that all statements that I have made herein of my knowledge are true, and that all statements on information belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1,001 of Title 18 of the United States code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

Yukio Fukanaga

Mukio Fukuraga

Date: Oct. 27, '04



#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## VERIFIED STATEMENT UNDER 37 C.F.R. 5.25(a)(3) IN SUPPORT OF PETITION FOR RETROACTIVE FOREIGN FILING LICENSE

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This statement is being made by Kenichi Sasabe of Ebara Corporation, the Assignee of applications listed below. I was promoted in 1998 to be a general manager of the Patent Department in the Precision Machinery Group of Ebara Corporation, in which position I still remain now. I was assigned in August 2003 as Patent/IP leader of a Joint development project in Ebara. I have personal knowledge of the acts regarding the preparation for this foreign filing license petition relating to the following applications that have been filed outside of the United States:

#### Japan

1. 2002-350529	December 2, 2002
2. 2003-015236	January 3, 2003
3. 2003-149827	May 27, 2003
4. 2003-161237	June 5, 2003
5. 2003-195406	July 10, 2003
6. 2003-310355	September 2, 2003
7. 2003-399443	November 28, 2003
8. 2003-431211	December 25, 2003
9. 2004-022178	January 29, 2004
10. 2004-023256	January 30, 2004
11. 2004-082102	March 20, 2004

**PCT** 

PCT/JP2004/000528 filed January 22, 2004, related to JP#2, JP#3 and JP#4 above as well as one other Japanese application which includes no invention made in the U.S., and designating all countries except Japan

Taiwan

TW93101713 filed January 27, 2004 and related to JP#2, JP#3 and JP#4 above as well as one other Japanese application which includes no invention made in the U.S.

Three applications were filed in the US related to four of the Japanese applications listed above:

US Patent Application Serial No. 10/724,044, which is related to JP#s 1 and 7 above;

US Patent Application Serial No. 10/886,716 which is related to related to JP# 5 above; and

US Patent Application Serial No. (New), filed September 1, 2004 in the name of Keiichi KURASHINA et al. and related to JP#6 above.

I am also attaching copies of a number of supporting documents, labeled and referenced herein as documents L-BB.

As the joint development project was prepared in a highly secret condition in Ebara, I knew little of this project before I was asked to be a Patent/IP leader in the project in August 2003. I remember two acts in which I was involved before August 2003.

One action is that I prepared a list of patent applications Ebara filed in Japan for plating technology of copper interconnect on a semiconductor substrate. I prepared this list to show Ebara's background technology that Ebara had before Ebara got into the joint development project. I listed Ebara applications and the development people selected applications which were

necessary as background technology. This list was prepared in around September 2002 and updated in March 2003.

The second action I was involved in was a discussion of the ideas between Ebara Technologies Incorporated (ETI) and our US partner. A list of ideas to be developed was sent to Ebara engineers in Japan and the Ebara engineers and I discussed the ownership of the ideas to advise ETI engineers. These ideas were prepared in the US by ETI and our US partner. We found some of the ideas had already been filed in Japan by Ebara and some ideas were being prepared for filing by Ebara.

After an inventor invents something in the Precision Machinery Group in Ebara, a disclosure of the invention is made by the inventor and sent to the IP department in the headquarter of Ebara through a patent liaison in the same department as the inventor, managers supervising the inventor, and the Patent Department in the Precision Machinery Group. I check and approve the disclosure to be filed as a patent application.

If the inventors indicated that the invention included some inventions or ideas made in the US, the patent department should have noticed the error in filing in Japan first. But there was no indication that the applications included any inventions made in the US, so I did not notice that there were inventions made in the US in the applications until January 2004 when Ebara engineers and I prepared the list of Ebara applications.

In January 2004, Ebara development engineers and I prepared a list of Ebara's applications filed in Japan for a meeting held in the US between Ebara, ETI and the US partner. I made a list of Ebara applications filed later than August 2002 in Japan. Ebara engineers selected the applications which may have some relation with the joint development project. I made a table of Ebara applications to be submitted in the meeting. In the discussion for preparing the list with the Ebara engineers we noticed that two of the applications might include information given by our US partner to Ebara in a presentation in August 2002. We indicated the ownership as joint between US partner and Ebara in the table. I noticed that if the application included an invention made in the US, we must prepare a petition for a retroactive foreign filing license for the filing of the application first in Japan.

I discussed the necessity of the petition for a retroactive foreign filing license with an

attorney of our US partner at the meeting. As the table has 29 applications, it took a long time to decide ownership of each of the applications and to clarify the inventors of each invention. It was finally decided in June of 2004.

Document M is the list of Ebara patent applications filed in Japan later than August 2002, which was submitted to the meeting.

Document N is the minutes of the second workshop meeting between Ebara and our US partner held on February 5 and 6, 2004 in US. These minutes briefly describe the discussion in the meeting.

Document O is a Facsimile letter to Deputy General Manager Kondo of IP department and Manager Sakaguchi of Patent department of Ebara, which I sent on February 8, 2004 to instruct to check if there were other applications related to this joint development project filed before August 2002, which used a pad on an impregnated material, and also to instruct to make English translations of abstract and claims of some applications filed in Japan.

I have diligently sought this retroactive foreign filing license after I discovered that our foreign filings were in fact proscribed. We began discussing these applications and the U.S. application for the U.S. joint development project partner in February of 2004. As I have little experience in this matter of foreign filing licenses and obtaining retroactive foreign filing licenses, it has taken me some time to study the situation, discuss the matter with my colleagues and obtain appropriate advice in order to make this statement in support of the accompanying petition.

On February 8, 2004 I discussed briefly this problem with an attorney in the US different from Mr. Pedersen, who is filing this statement for us. I asked him his advice by e-mail on February 28, and a partner attorney sent me advice on March 3, 2004.

Document P is a copy of an e-mail I sent to an attorney for his advice on February 28, 2004. As the attorney, licensed in New York, is Japanese, this e-mail was written in Japanese.

Document Q is advice from the partner attorney sent on March 3, 2004.

As the attorney from whom I asked advice is from a firm with which we consult on general advice or litigation matters, I asked Mr. Pedersen, an atto rney who is a representative of Ebara in filing patent applications in the US, to proceed with the actual filing for the foreign filing license in May 2004.

Document R is a copy of an e-mail I sent to Mr. Pedersen to ask his advice on May 11, 2004.

Document S is a copy of an e-mail I sent to Mr. Pedersen on May 15, 2004 with an attachment of a draft to explain a reason why Ebara filed in Japan before filing in US.

Document T is a copy of an e-mail I sent to Mr. Pedersen on May 18, 2004.

Document U is a copy of an e-mail I sent to Mr. Musaka on May 19, 2004 regarding an advice from Mr. Pedersen.

Document V is a copy of an e-mail I sent to Mr. Fukunaga asking for preparing his statement. This e-mail includes e-mail from Mr. Pedersen on May 24, 2004.

Document AJ is a copy of e-mail I sent on June 2, 2004 to Mr. Pedersen, our attorney, asking for advice.

Document AN is a copy of e-mail from Mr. Pedersen which shows that I visited his firm on June 23, 2004 for discussion on this issue.

Document AO is a copy of e-mail I sent to Mr. Pedersen on June 26 for instruction on this issue.

Document AP is a copy of e-mail I sent to Mr. Musaka on June 29, 2004 regarding petitions based on the advice from Mr. Pedersen.

Document AS is a copy of e-mail I sent to Ms. Matsuo of Kontecs whom we asked translation of support documents for this petition and statements. This e-mail respond to her e-mail referring her e-mail. This e-mail shows that we asked translation of our support documents on July 3, 2004.

Document AV is a copy of e-mail I received from Mr. Pedersen on July 20, 2004 in reply to my e-mail on July 13, 2004.

Document AW is a copy of e-mail I sent on July 22, 2004 to inform Ms. Matsuo that I received the English translation of support documents for this petition and stat ements.

Beside these contacts with attorneys for the preparation of the foreign filing license, I contacted often with Mr. Musaka, who is a technical coordinator of Ebara in the Joint Development, and he contacted with the technical coordinator of our US partner to discuss about the ownership of the applications. In this discussion our US partner requested to some of the

applications to be joint applications, which include their inventions made in US. As we decided to make the Japanese applications 2002-350529 and 2003-399443 joint applications after the meeting held in February 2004, we started to prepare to submit a petition for these two Japanese applications and one US application based on one of the Japanese applications. But through the discussion with our US partner, the number of applications that they requested us to change to joint applications increased. We investigated the history of inventions and we reported the reason why we considered the inventions were made by Ebara inventors. The discussion on the ownership of the applications continued until June 2004.

In March 2004 we tried to file a petition for the two Japanese applications. After some discussions with our US partner, we tried to treat all applications requested to be joint applications together in one foreign filing license. But after precise study of the applications, we found that the general manager in development department was Mr. Fukunaga for the two Japanese applications and was Mr. Mishima for other applications. We decided in June 2004 to file the petitions in two groups to clarify the situation.

Document W is a copy of an e-mail I sent to Mr. Musaka on March 6, 2004 to send English translations of some Japanese applications for which our US partner requested to send English translations of abstracts and claims. This e-mail also explains the Japanese application 2002-350529 referred as application No.2 and Japanese application 2003-399443 referred as application No.22.

Document I is a copy of an e-mail sent on March 9, 2004 by Mr. Musaka to a technical coordinator of our US partner of the JDP for sending English translation of abstracts and claims of the Japanese applications.

Document X is a copy of an e-mail I sent to Mr. Musaka on March 9, 2004. This e-mail explains the relation of Japanese applications 2002-350529, 2003-399443 and US application based on 2002-350529.

Document BB is a copy of an e-mail Mr. Musaka sent to the US partner for sending English translation of the application on March 12, 2004.

Document Y is a copy of an e-mail I sent to General Manager Nakashiba, Deputy General Manager Akai, Deputy General Manager Kondo and Manager Shinozuka of Intellectual Property

Department in Ebara Headquarters on March 17, 2004 to propose a filing procedure for patent applications related to the JDP.

Document AZ is a copy of e-mail I sent to Mr. Nakashiba and Mr. Akai about filing petition for export license on March 24, 2004.

Document BA is a copy of e-mail I sent to Mr. Akai on March 25, 2004 reporting the result of a discussion between Mr. Musaka and our US partner. The e-mail from Mr. Musaka to me following the e-mail to Mr. Akai shows the request from our US partner expressed in the discussion.

Document AY is a copy of my notebook which shows a memo of a meeting between Mr. Fukunaga, Mr. Mishima, Mr. Kurashina and me on March 31. The reasons why Ebara considered the inventions were Ebara inventions were discussed in this meeting.

Document AG is a copy of a white board used in a meeting by Mr. Fukunaga, Mr. Mishima, Mr. Sakaguchi and me for a study of ownership of several Ebara applications on April 19, 2004.

Document Z is a copy of an e-mail I sent to Mr. Musaka and Mr. Mishima with an attachment describing Ebara's opinion explained to Mr. Musaka on April 24 on the ownershi p of some applications which were studied in the meeting held on April 19, 2004.

Document AA is a copy of e-mail I sent to Mr. Fukunaga on May 6, 2004 responding to e-mail from Mr. Musaka requesting a telephone conference with our US partner on May 7 at 6:00 AM in Japan time on patent applications.

Document AB is a copy of e-mail replying on May 7, 2004 to e-mail from Mr. Fukunaga requesting my checking of a draft before he reports the progress of the patent issue to Mr. Tsujimura, Director of Advanced Technology Division,.

Document J is a copy of an e-mail, which Mr. Fukunaga sent to Mr. Musaka on May 7, 2004, asking not to agree to make some Japanese applications co-applications between Ebara and our US partner on a meeting held on May 7, 2004, because we were trying to get approval of Mr. Tsujimura on making them co-applications.

Document AC is a copy of an e-mail I sent on May 8, 2004 to an attorney of our US partner, in return to an e-mail I received from him. He advised me of preparing petition for

foreign filing license after a telephone conference of the Joint Development Program on May 7, 2004.

Document AI is a copy of e-mail I sent on May 18 to Mr. Musaka sending English translation of specification of application JP #9 (2004-022178) which is referred as #26. (#26 is a number in the patent list of Document M.) On a telephone conference held May 7, 2004 Mr. Mishima explained the contents of this application and he explained that this application should be Ebara sole application.

Document AH is a copy of e-mail I sent on May 20, 2004 to Messrs. Musaka, Fukunaga and Mishima explaining the result of my check for claims including pad in Ebara applications. I explained my consideration on some of the applications in this e-mail.

Document K is a copy of e-mail I sent on May 21, 2004 of a meeting agenda, and a copy of white board used at a meeting to investigate the history of applications JP#1 and # 7 held on May 27, 2004.

Document AD is a copy of e-mail I sent to Mr. Mishima on May 29, 2004 for asking to submit related documents to the applications in relation to the meeting on May 27, 2004 described in Document K.

Document AK is a copy of e-mail I sent on June 8, 2004 to Mr. Musaka for sending English translation of application JP#5 (2003-195406) to be checked by our US partner before filing in US.

Document AE is a copy of e-mail I sent on June 8 to inventors of the applications for sending a questionnaire.

Document AF is a copy of an e-mail I received from Mr. Musaka and transferred to General Manager Akai and Manager Shinozuka of Ebara IP department on June 11, 2004 after a meeting between representatives of Ebara and our US partner for discussion about IP issue in JDP. In this meeting both agreed to make Japanese applications in concern to be co-applications between Ebara and our US partner.

Document AL is a copy of Agenda of #3 workshop meeting held on June 21, 2004.

Document AM is a copy of e-mail I sent to Mr. Musaka on June 18, 2004 sending documents for #3 workshop meeting. In this meeting I explaine d that we will make 11

applications co-applications and asked them to reconsider about two applications different from the 11 applications.

Document AQ is a copy of e-mail I sent to Mr. Musaka for sending English translation of application JP #10 which is referred as #28 (2004-23256).

Document AR is a copy of e-mail I sent to Mr. Musaka on July 9, 2004 asking any response from our US partner on two JP applications including JP #6 which are referred as #13 and #16 respectively.

Document AX is a copy of e-mail which Mr. Fukunaga sent to Mr. Musaka on July 6, 2004 inquiring the name on inventors of our US partner for filing application JP # 5 in US as a joint application.

Document AT is a copy of e-mail I sent to Mr. Shinozuka of IP Department on July 16, 2004 asking to send me copies of "Notification of invention" which are Document BC-BM respectively, and confirming who was the General manager at the time of filing.

Document AU is a copy of e-mail I received from Mr. Musaka on July 18, 2004 in response to my e-mail sent on July 9, 2004 regarding two JP applications including JP #6 which are referred #13 and #16 respectively in the e-mail.

I declare that all statements that I have made herein of my knowledge are true, and that all statements on information belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1,001 of Title 18 of the United States code, and that suc h willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

Kenichi Sasabe

Kenichi Sasabe

Date: October 30, 2004

#### <u>辻村様","福永様"< fukunaga.akira@ebara.com>, "徳重様"<tokushig, 午前 08:42 02/08/28 +090(</u>

様)″〈oishi.kunio@ebara.com〉

From: Yukio Fukunaga 〈fukunaga yukio@ebara.com〉 Subject: PaPキックオフ会議開催の件

Cc:

Bcc: fukunaga.yukio@ebara.com

Attached:

#### 各位殿

題記の件、reductedキックオフミーティングを下記のとおり 開催しますので、ご出席お願いいたします。 辻村統括より、お話しがあります。

◆ 日時: 8月30日(金) 9時~11時

◆ 場所: V2棟 第一会議室

当日出席できない方は、予め福永(由)まで ご連絡下さい。

第一開発センタ 第二プロセス開発室 福永(由) (Tel.8970)

Yukio Fukunaga 〈fukunaga.yukio@ebara.com〉の印刷

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10/40 min OP. Menue Control 2-207/02. 10312 71 (7/135) X Water Rotation/Oscillation table recipe (clostep) (It lostop 罗说六件数 如你就有旅。一几一切造 Control dan tolce ). 13th 7 A Polisty had with holes (ili) opposit (11) in (1 2nd. Salution line Switchig { B 主任水河海? Ceramic plate (~21%) of AZZ Fellen? △ (可重制(配a)(E) Wy a (Backing-sheet) 1.2(12 offset) to lungers. " polishing ladaliti. A127211 134. \* Anothe rotation. Anodeontit! " Ind solution like. A, Bo Jissi (立置制(部四分) 8 A 30 B redacted The Meeting Ahode with full contact (XX) Water Support 2-motion.

Support Document A

Tusjimura", "Fukunaga "<fukunaga.akira@ebara.com>," Tokushige"<tokushige AM 08:42 02/0828+0900

To: "Tsujimura"

<tsujimura.manabu@ebara.com>,"Fukunaga"<fukunaga.akira@ebara.com>,"Tokushige"<tokushige.katsuhiko@ebara.com>,"Mishima"

<mishima.koji@ebara.com>,"Katsuoka"<katsuoka.seiji@ebara.com>,"Kunisawa"<kunisawa.junji@ebara.com>,"Makino"<makino.natsuki@ebara.com>,"Kanda"<kanda.hiroyuki@ebara.com>,"Namiki"<namiki.keisuke@ebara.com>,"Hodai"<hodai@m.email.ne.jp>,"Nanjo (Oishi)"<oishi.kunio@ebara.com>

From: Yukio Fukunaga <fukunaga.yukio@ebara.com>

Subject: Call-up of kickoff meeting for reducted

Cc:

Bcc: fukunaga.yukp@ebara.com

Attached:

To all concerned,

This message requests all concerned members to attend the kickoff meeting for the redacted project scheduled as below.

Mr. Tsujimura, Chief of Technology Div., will have a speech.

Date: Friday, August 30. From 9:00 a. m. to 11:00 a.m.

Place: Meeting room 1, Building V2

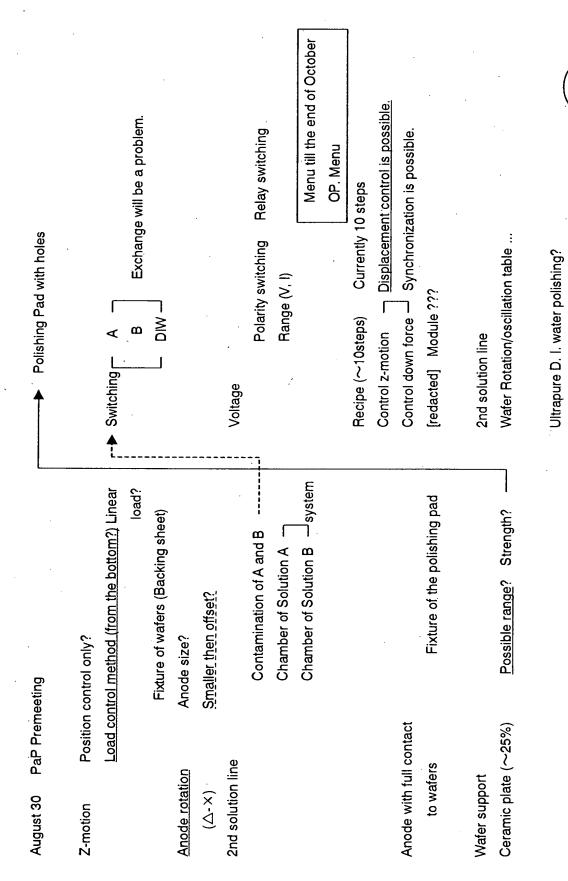
Please inform Y. Fukunaga of your absence in advance.

Y. Fukunaga

**Process Development Office 2** 

**Development Center 1** 

Phone: 8970 (Extension)



Fukunaga 02.8.10 redacted 検討会(#2)議事録. txt

redacted プロジェクトメンバ各位殿

#### 議事録送付致します。

(#2) redacted 検討会 議事録二

・日時: '02. 9. 3. (火) 8:30-10:20

・場所: V 2 −第一会議室

·出席者(敬称略): 木村、徳重、三島、神田、勝岡、国澤、牧野、南條、

(記)

「redacted 」装置の客先の提案仕様に関し理解を深め、最適対応策を検討す 【主旨】 る。

「redacted 」 開発の背景と、客先の提案仕様について … 木村センタ長 ・ 客先 J D A P r o p o s a l に基づく開発内容説明

·redactedとの協業は"深く静かに"推進したい。 情報はメンバ以外門外不出とする

・ φ200実験モジュールを3ヶ所( redacted / サンノゼ、藤沢) に設置し、開 発を加速したい。

・ めっきとポリッシュは最終的には一つの装置にまとめる。

redacted ?

および redacted は、別途検討とする。

2. 実験モジュールの改造仕様について … 論議 ・ 客先提示の改造項目案に関して、実現性を論議した。 ・ 今秋設置の φ 200 モジュールは含浸めっきモジュールをベースにし、 めっきモジュールとポリッシュモジュールとを別々に設置するのが効率的。 (改造少なく、早期対応可。 個々のフプロセスをコンタミなしに検証可)

改造に供試可能なモジュールと引き当て(案)

redacted

サンノゼ

藤沢

te

В2モジュール

1: et

: p

ch. DRモジュール

β2機(11月~)

DR機

1 : etch. 1: plate 1 : etch 1 : plate

3. メンバ

当面のメンバ:

福永(由)

蓬台

(めっき) 三島、神田、井出

(ポリッシンク )徳重、並木

(設計) 勝岡、国澤、牧野

(制御) 南條

4. 次回打ち合せ

· 自時: 9月9日(月) 10時~12時

V2棟 第5会議室

装置仕様、 ユーティリティリスト、

以上

#### Meeting Minute for the [redacted(project name)] Project (#2)

To all concerned members of the [redacted(project name)] project, This document is the meeting minute for circulation.

- = Meeting Minute for the [redacted(project name)] project (#2) =
- Date: Tuesday, September 3, 2002. From 8:30 a. m. to 10:20 a. m.
- Place: Meeting room 1, Building V2
- Attendants (title omitted): Kimura, Tokushige, Mishima, Kanda, Katsuoka, Kunisawa, Makino, Nanjo, Y. Fukunaga (Minute originator)

Fukunaga '02.9.3 08594

[Purpose of the meeting]: To understand the proposal of specification change for [redacted(project name)] tool made by the customer and to discuss the optimal actions.

- 1. Background of the "[redacted(project name)]" development and the customer-proposed specifications ... Executive General Manager Kimura
- Mr. Kimura explained the development based on the JDA Proposal of the customer.
- Ebara wants to develop the ties for collaboration with [redacted: the US company] "densely and silently". Information on the collaboration must be off-limit to others except for the concerned members.
- Ebara wants to implement the test modules for 200-mm wafer in three sites ([redacted: the US company], San Jose, Fujisawa) to accelerate the development.
- The plating module and the polishing module will finally be integrated.
- [redacted] and [redacted] will be discussed separately.
- 2. Change of the test module specification ... Discussion
- The members discussed feasibility of the specification change proposed by the customer.
- It is efficient to manufacture the test modules for 200-mm wafers for the site implementation in coming autumn based on Ebara's impregnation plating module and to separately install the plating module and the polishing module. (Using this configuration, we do not require large-scaled modification; thus, can respond faster. We can verify individual processes without contamination.)
- The members discussed where the modules, which can be modified, are implemented (proposal).

· β2 module · DR module	[redacted: the US company]	San Jose	Fujisawa 1: etch. 1: plate
$\cdot \beta$ 2 unit (from Nov.)	1: etch.	1; etch.	
· DR unit	1: plate	1: plate	

#### 3. Members

Members assigned for the present are as follows.

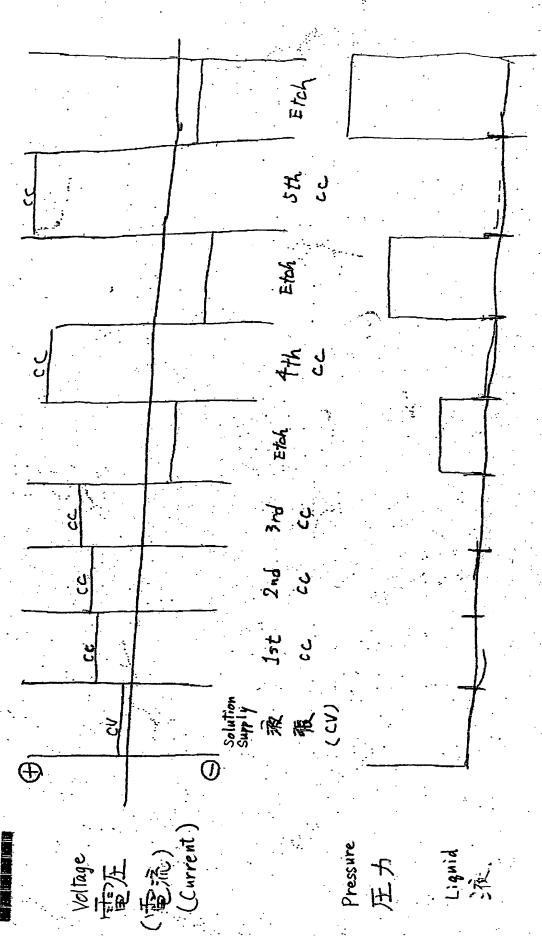
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Y. Fukunaga	•••		Hodai
	•••	(Plating)	Mishima, Kanda, Ide
	•••	(Polishing)	Tokushige, Namiki
	•••	(Design)	Katsuoka, Kunisawa, Makino
	•••	(Control)	Nanjo

4. Next meeting

### Support Document B

- Date: Monday, September 9. From 10:00 a. m. to 12:00 a. m. Place: Meeting room 5, Building V2 Agendas: Unit specifications, utility test, schedule, etc.

### END OF DOCUMENT



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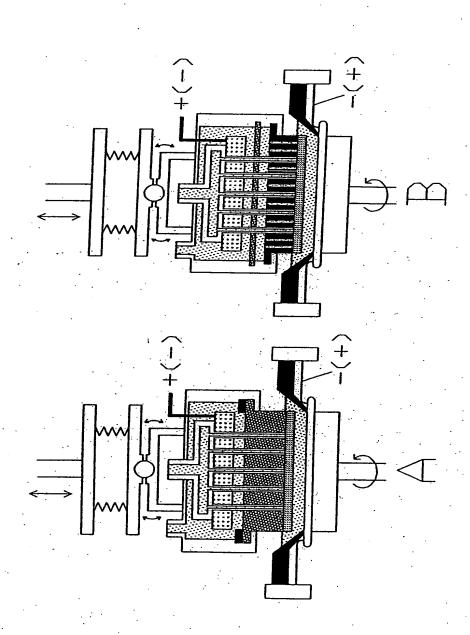
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- 1. 電極と基盤の間に気孔率及び気孔径ともに任意な多孔体。
- 2. 多孔体は樹脂・セラミック・金属の単体及び複合体であり、織布・不織布を含む。
- 3. 多孔体を通して基盤表面への通液路がある。(連続気孔)
- 4. 多孔体はその気孔内に液体を保持することが可。
- 5. 多孔体の厚みは 1~20mm。
- 6. 電極と基盤の間には1つ以上の多孔体が存在。(複数可)
- 7. 多孔体を通じて電極側から基盤側へ及びその逆への液移動が可。(連続気孔)
- 8. 多孔体の一部及び全部をコーティング・燒結・封孔等の改質・表面処理してもよい。
- 9. 対抗電極は基盤最外周に存在する。
- 10. 電極は基盤表面に対し正・逆の電圧を時間軸に対して任意に印加することが可。
- 11. 多孔体の一部と基盤の一部は液体の薄膜を介して接触している。
- 12. その薄膜の厚さは0~1mm とする。
- 13. 基盤処理中は液体薄膜厚さを任意に変更できる。(手段を有す)
- 14. 電極と多孔体は同じ空間にケーシングされている。
  - 15. そのケースは基盤処理位置と非処理位置を任意に移動できる。(手段を有す)
  - 16. 非処理位置では多孔体のコンディショニング(置換・洗浄・電解)が可。
  - 17. 多孔体の一部には多孔体でない樹脂・セラミック・金属を含む。
  - 18. 基盤処理中に多孔体と基盤との接触圧力を任意に変更できる。(手段を有す)0~200g/cm2
  - 19. ケースは基盤に対してチルト機構を有す。

20



\*2 The "In-house inventor" column is for inventors in Ebara Corporation (EBR), Ebara Research (ER), Ebara Boiler Co.,Ltd. (EB), Ebara Industrial Cleaning Co.,Ltd. (EICC), or Ebara Refrigeration Equipment & Systems Co., Ltd. (ERS)

The column below is	, OI E	T	Dept.	Post			T (1)	10.14	
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Application type

1. Sole application by EBR 2. Joint application by EBR and acompany other than EBR
3. Sole application by a company other than EBR 4. Other

The "Applicant other than EBB" column is for inventors in EB, EICC, and ERS; for inventors in ER, see the instructions on the form. Patent prosecution by: (1. EBR 2. Other than EBR ( Expense is: 1. Paid by EBR 2. Equally shared 3. Paid otherwise Applicant other than Company/ Contact (address, Tel, and Share of the rights Share of the cost EBR\*4 personal name responsible in Intellectual (Total: applicant(s)) Property Dept. % %

\*The "External inventor" column is for inventors outside of EBR, ER, EB, EICC, and ERS.

External inventor	Company	Name	Address	Share of the interest
(Total: inventor(s))*5				%
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if descriptions of in-house//external inventors or applicants other than EBR cannot be contained in this form, write the descriptions in the Supplement and attach it to this form.

IPW-001 (Rev. 1.5)

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### Notification of Invention (2/2)

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Urgency of application filing  1. Normal 2. High (by December 2.) Reason: a. External release (Fill b. Deadline for publication contraction contraction.		tion of our prior application g domestic priority	Released on: YYYY/MM/DD Released to:	
10				<u> </u>
		contract for joint research	1. Available (partner	: ) (2.)N/A (current)
		contract for joint filing of patent	ed by: a. Us b. Partner ( ))	

applications 2)Not required

When there is a written contract that justifies the joint filing or filing under other name, a ttach a copy of it to this form.

Prior-art search  1. Done (Fill the right column.)  2. Not done	Related application and prior art; Attach two items of prior art related to the application.		1) Available (Application No. Heisei 11-367754, Application No. 2000-369201) 2. N/A 1) Available (Publication No. 2000-232078 (Toshiba)) 2. N/A
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Nature of invention Choose A, B, or C (enclose with a circle), considering the nature of the invention. A. Invention for current B.)Invention for new C. Invention of new ideas **Evaluation item** products/technologies products/technologies (1) Technical superiority over 1. None 2. A little (3) Considerable 4 Very large prior art 1. Unknown 2. Normal 3. High (4) Very high (2) Severity of challenge/means Originality 1. Unknown 3. Medium (4) Development project for 1. N/A products based on the 2. In the final stage invention 3. In the intermediate stage 4.)In the early stage (5) Importance of the 1. Low 2. Rather low (3.) Considerably high invention to the products Overall judgment by the 2. Moderate (double) (3.)Important (triple) 1. Less important (single) requesting side 4. Significant (quadruple) 13

Calculation for rating of the evaluation	For inventions of A or B	((1)+(2)+(4)+(5))×(6) = 42
	For inventions of C	((1)+(2)+(3)+(5))×(6) =
14	<u> </u>	

Filing of the patent application is:	1. Required 2. Not required; it should be published on Journal of Technical Disclosure. 3. Not required (reason:	`
Foreign filing of the patent application is:	<ol> <li>Required (country name: U.S, Europe, and Korea)</li> <li>Not required</li> <li>Not determined</li> </ol>	

	This invention relates to a next-generation plating apparatus that greatly reduces overplating of CU wiring to minimize the load of the CMP process and its head structure or the key element of the apparatus.
15	and its riead structure or the key element of the apparatus.

Boss's seal of approval: **Fukunaga** 

	(1) Patentability	1. None 2. Low 3. Medium 4. High
~ M	(2) Scope of rights	1. Narrow 2. Rather narrow 3. Considerably wide 4. Wide
aluati	(3) Indispensability of the invention to the products	1. Low 2. Rather low 3. Considerably high 4. Indispensable
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16

Evaluation by Intellectual Property
Dept: ((1)+(2)+(3))×(4)= "7
Total of the evaluation values by the

requesting side and Intellectual
Property Dept.\*

Enter the evaluation values into the formula.

Overall 84 or more -> S: Significant 64 to 83 -> A: Important 28 to 63 -> B: Normal 27 or lower -> C: Not apply

Evaluation Evaluation

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\*8 Place a circle on the appropriate item of the evaluation level.

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Application	Regular application		Patent firm
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Should you have any comment on the evaluation, contact us within two weeks.

- A porous material having optional porosity and pore diameter to be placed between an electrode and a substrate.
- 2. The porous material is resin, ceramic, or metal or a compound of them, including woven or non-woven fabrics.
- 3. The porous material allows a liquid to flow through it onto the substrate surface (continuous pores).
- 4. The porous material can retain the liquid in the pores.
- 5. The porous material is 1-mm to 20-mm thick.
- 6. One or more pieces of the porous material can be placed between the electrode and the substrate (multiple pieces of the material can be used).
- 7. The porous material allows the liquid to move from the electrode side to the substrate side or vice verse (continuous pores).
- 8. The porous material can be wholly or partly coated, sintered, or reformed/surface-treated such as sealing.
- A counter-electrode is located on the farthest circumference of the substrate.
- 10. The electrode can apply positive or negative voltage to the substrate surface anytime.
- 11. The porous material is partly in contact with the substrate through a medium of a liquid film.
- 12. The liquid film is 0-mm to 1-mm thick.
- 13. Thickness of the liquid film can be freely changed during substrate processing (having an appropriate method).
- 14. The electrode and the porous material are cased in a same space.
- 15. The case can be freely moved between the substrate processing position and the nonprocessing position (having an appropriate method).
- 16. The porous material can be conditioned (replacement of liquid, cleaning, and electroprocessing) on the non-processing position.
- 17. The porous material partly contains non-porous resin, ceramic, and metal.
- 18. The contact pressure between the porous material and the substrate can be freely changed in a range from 0 to 200 g/cm2 (an appropriate means required).
- 19. The case has a tilt mechanism for the substrate.

20.

#### 発明部門メニューへ事業本部特許部メニューへ

社外秘

一時保存したものに追記する場合、または、承認/否認する場合、上部の「編集」リンクをクリックしてください。 **発明等届出**書

届出日:2003/11/12

知的財産部受付番号:K1030635 受付日:2003/11/20

依頼元担当一記入欄▼依頼元上長一記入欄▼事業本部特許部一記入欄▼ワークフロー情報

★は必須入力項目です。

#### ▼依頼元担当一記入欄

②【依頼元情報】

会社★	01 荏原製作所	部門 V370二プロ設計課		_
整理番号(Doc.No.)	EB3216P			_
担当者	会社区分十社員番号:0121105	氏名:國澤 淳次	TEL: 9488	
本部名★	PP 精密·電子			

②【基本情報】

国内/外国★	国内		
四法★	特許		
発明の名称★	電解処理装置及びその方法		
キーワード	めっき エッチング CMP 電解		
関連する製品名	めっき装置 エッチング装置 CMP装置		
関連する業務コード	その1 7B配線めっき装置 その2		
研番	L-03D520		
研番依頼元	部署名 V370二プロ設計課		
職務発明について★	1.職務発明である		

AV

)【荏原製作所/荏原総合研究所/荏原電産の発明者】

Tek (1)			社員番号/氏名 (会社区分+社員番号)	内線NO/ポストNO/E-mail	発明者 の持分 (%)		代表発 明者 ★
在原製作   國澤 淳次   ポストNO:718   設計課	1	荏原製作		ポストNO:718	E	•	Check
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【荏原総合研究所・荏原電産以外の関連会社/社外の発明者】

	1	会社コード/	名称	氏名	TEL/	E−mail	所属	る部門また!	は住所   米	国在住
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評価点

出願要否	要(理由:)
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特記事項	本件国内優先出願のため、至急手続きお願い致します。

# ▲依頼元担当一記入欄 ▲依頼元上長一記入欄 事業本部特許部一記入欄 ▼ワークフロー情報

#### ▼事業本部特許部一記入欄

**(**3)

部長記入欄	担当	坂口さん					
	コメント	原稿が知財部篠塚さん宛送付されているそうです。原稿確認してください。					
担当者記入欄	コメント	クレーム追加のための国内優先出願なのでOKとします。					
	添付文書						
	作業終了サイン	坂口:終了					

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▲依頼元担当一記入欄 ▲依頼元上長一記入欄 ▲事業本部特許部一記入欄 ワークフロー情報

## ▼ワークフロー情報

現在のユーザ: seimitsu zzchizai/e/ebara\_jp

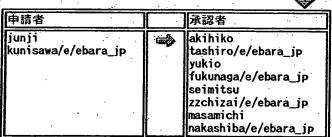
現在の承認者:

要求 ID NTNN-5T89BU

ステータス: 完了







承認者情報

(5)

申請者名	申請日	CCメール
junji kunisawa/e/ebara_jp	2003/11/12	natsuki makino/e/ebara_jp

承認者役職	承認者名	承認期限	ステータ ス	承認日	CCメール
発明者上司	(承認不要)				
リエソン	akihiko	2003/11/19	承認	2003/11/12	1

	tashiro/e/ebara_jp				
部長	yukio fukunaga/e/ebara_jp	2003/11/19	承認	2003/11/12	
事業部側特許部 門	seimitsu zzchizai/e/ebara_jp	2003/11/19	承認	2003/11/19	
	masamichi nakashiba/e/ebara_jp	2003/11/26	代理承認	2003/11/20	

### **アコメント**

CN=akihiko tashiro/OU=e/0=ebara\_jp CN=yukio fukunaga/OU=e/0=ebara\_jp CN=seimitsu zzchizai/OU=e/0=ebara\_jp CN=masaaki miyazaki/OU=e/0=ebara\_jp 含宮崎代理受入2003.11.20

承認 2003/11/12 17:37:47 本件、承認いたします。 承認します 承認 2003/11/12 20:16:43

承認 2003/11/19 20:02:43

承認します。 中柴B打ち合わせ中につ 代理承認 2003/11/20 14:02:53

To the menu for the dept. of the inventor(s)	

Confidential

To add data to the temporarily saved form or to approve/refuse the form, click the [Edit] link above.

Notification of Invention

Filed on: November 12, 2003

Intellectual Property Dept's receipt No.: K1030635 Date of receipt: November 20, 2003

For the responsible	▼ For the boss of the	▼ For Patent Dept. of	<b>▼</b> Workflow information
person in the requesting	requesting side	the Group	
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Never fail to fill ★-marked columns.

#### ▼For the responsible person in the requesting side

1 [Information of the requesting side]

Company name	01	Dept.	V370 Design Department Process			
	Ebara Corporation		Development Office 2 Development Center 1			
Reference No. (Doc.No.)	) EB3216P					
Responsible person	Company category + Employee No.: 0121105 Name: Junji Kunisawa TEL: 9488					
Group name★	PP Precision Machine	ry				

2 [Basic information]

Domestic/foreign ★	Domestic	Domestic				
IP category ★	Patent					
Title of the invention	Electrochemical processing apparatus and its method					
Keyword	Plating, etching, CMP, and electrochemical processing					
Names of related products	Plating apparatus, etching apparatus, and CMP apparatus					
Related job code	No. 1	7B Wire plating apparatus No. 2				
Job No.	L-03D520					
Requesting dept.	Dept. name V370 Design Department Process Development Office 2 Development Center 1					
About service invention ★	1. Yes					

3 [For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

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2	EK0001/	0121105	Extension No.: 9488	V370	E		
	Ebara	Junji Kunisawa	Post No.: 718	Design			
	Corporation		E-mail:	Department			•
	•	<b>l</b> .	kunisawa.junji@ebara.	Process			
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N/A	and potential ir	nventor(s)					
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4 [For inventors in affiliates other than Ebara Research/Ebara Densan Ltl and external inventors]

	Company code/name	Name	TEL/E-mail	Dept./contact address	Living in U.S.
1			TEL:	E	
	<u>                                     </u>	•	E-mail:		
N	/A and potential inventor	(s)			

5 [Appli	cant]							S	upport Documen
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Ebara C	orporation		ct address:	-					person
		Dept.:		sible:	ļ		İ		
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The application should be filed as immediately as possible because a domestic priority application will be

filed for it.

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10 [Special note]					•	Su	pport Document
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Special note Cla	ims have	been added to the app	plication a	Iready	y filed (dom	estic priorit	ty). The
spe	ecitication	draft has been sent to	Mr. Shino	ozuka	of Intellectu	ıal Propert	y Dept. at
<u> па</u>	neda sepa	arately.	<del> </del>			·	
11 [Description of	invention	(specification draft)]					
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(4) Project for products based on the invention (development, sales, etc) (Enter data if the nature of the invention is A or B.)			RI	S. III the mi	termediate	stage	
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▲ For the responsible person in the requesting side	For Patent Dept. of the Group	<b>▼</b> Workflow information
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13 ▼For Patent Dept. of the Group

General	Responsible	Mr. Sakaguchi
manager:	Comment	The draft has been sent to Mr. Shinozuka of Intellectual Property Dept. Check the draft.
Responsible person:	Comment	I approve the request because this is a domestic priority application for adding a claim.
	Attachment	
<del></del>	Sign of completion	Sakaguchi: Completed

	▲ For the responsible person in the requesting side	▲ For the boss of the requesting side	▲ For Patent Dept. of the Group	Workflow information
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#### **▼**Workflow information

Current user: seimitsu zzchizai/e/ebara\_jp

Current approver:

Request ID NTNN-5T89BU

#### Status: completed

14

Approved by:
akihiko tashiro/e/ebara_jp yukio fukunaga/e/ebara_jp
seimitsu zzchizai/e/ebara_jp masamichi nakashiba/e/ebara_jp

#### **▼**Approver information

15

	Requested on:	CC mail
junji kunisawa/e/ebara_jp	November 11, 2003	natsuki makino/e/ebara ip

16					
Position of the approver	Name of the approver	Deadline of the approval	Status	Date of approval	CC mail
Boss of the inventor	(Approval not required)				,
Liaison	akihiko tashiro/e/ebara_jp	November 19, 2003	Approved	November 12, 2003	
General manager	yukio fukunaga/e/ebara jp	November 19, 2003	Approved	November 12, 2003	
Patent Dept. of the Group	seimitsu zzchizai/e/ebara_jp	November 19, 2003	Approved	November 19, 2003	
General manager of Intellectual Property Dept.	masamichi nakashiba/e/ebara_jp	November 26, 2003	Approved by a proxy	November 20, 2003	

#### **▼**Comment

CN=akihiko tashiro/0U=e/0=ebara\_jp Approved November 12, 2003 17:37:47 I approve the request. CN=yukio fukunaga/0U=e/0=ebara\_jp Approved November 12, 2003 20:16:43 OK. CN=seimitsu zzchizai/0U=e/0=ebara\_jp Approved November 19, 2003 20:02:43 OK. CN=masaaki miyazaki/0U=e/0=ebara\_jp Approved by a proxy November 20, 2003 14:02:53 Mr. Nakashiba is in a meeting; so Miyazaki, or his proxy, approves the request. November 20, 2003

発明部門メニューへ	事業本部特許部と	<b>/ニューへ</b>

社外秘

一時保存したものに追記する場合、または、記入/承認/否認する場合、上部の「編集」リンクをクリックしてくださ

#### 外国出願依賴書

発信日:2003/05/31

|依頼元担当一記入欄||▼依頼元上長一記入欄||▼事業本部特許部一記入欄||▼ワークフロー情報

★は必須入力項目です。

## **▼**依頼元担当一記入欄

☑ 【依頼元情報】

会社	01荏原製作所	部門	V370V第二プ設計
整理番号			
担当者	社員番号:0120307	氏名:牧野 夏木	TEL:9320

②【基本情報】

外国出願対象の出願	知的財産部受付番号:K1020686 四法区分:特許 出願番号:2002-350529 出願日:2002/12/02
出願国★	アメリカ
出願理由★	平坦化めっきの重要発明であるため

〕【上記対象出願とまとめて外国出願したい案件】 ※当該発明も1行目に記載されています

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)【荏原製作所/荏原総合研究所/荏原電産の発明者】

||所属部門コード/名 ||持分 ||米国在 ||代表発 社員番号/氏 内線NO/ポストNO/E-mail

			··	名 (会社区 員番号	)			.   称		·	住	明者	
			K0001/荏原 以作所 	012030 牧野 3	夏木	内線NO:E ポストNO: E-mail:V3	荏原製作所	V370\	/第二プ設言	† E%			
			K0001/荏原 l作所	012110	次	内線NO:EI ポストNO:7 E-mail:V37	<b>荏原製作所</b>	V370V	/第二プ設計	F E%		·	
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	11		0001 原製作所		本社住所 連絡先付	斤: 東京都大 〒144	田区羽田旭町 1-8510東京	11番1号	AD Dr + +	E%	E%	担当	1
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5		02 他社関連先行文献	添付者:
-	内容(文献名)	USP6413388	添付日:
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6	見出し(文献種 別)	02 他社関連先行文献	添付者:
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# ▲依頼元担当-記入欄|依頼元上長-記入欄|▼事業本部特許部-記入欄|▼ワークフロー情報

#### ▼依頼元上長一記入欄

9

特記事項 銅配線の平坦化めっきに必要な装置構成、特にアノードヘッドの構造に関する発明であり、協業先に装置を納めています。(US)

# ▲依頼元担当一記入欄 ▲依頼元上長一記入欄 事業本部特許部一記入欄 ▼ワークフロー情報

### ▼事業本部特許部一記入欄

_			
	部長記入欄	担当	坂口さん
)		コメント	お願いします。
	担当者記入欄	コメント	内容確認の結果、外国出願要と考えます。
		添付文書	
			添付者: 添付日:
		作業終了サイン	坂口:終了
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|▲依頼元担当一記入欄||▲依頼元上長一記入欄|||▲事業本部特許部一記入欄||ワークフロー情報|

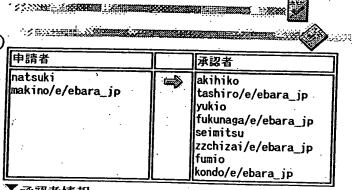
# マワークフロー情報

現在のユーザ: seimitsu zzchizai/e/ebara jp

) 現在の承認者:

要求 ID NTNN-5LNM4B

#### ステータス: 完了



▼承認者情報

•

申請者名 ||申請日 ∥C Cメール natsuki makino/e/ebara\_jp 2003/05/31 junji kunisawa/e/ebara\_jp

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**ア**コメント

CN=akihiko tashiro/OU=e/O=ebara\_jp CN=yukio fukumaga/OU=e/O=ebara\_jp CN=seimitsu zzchizai/OU=e/O=ebara\_jp

承認 承認

承認

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本申請を承認します 承認します

外国出願承認します。

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Supplement

4 [For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

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	Company	Employee No./name (company category + employee No.)	Extension No./post No./E-mail address	Dept. code/name	Share of the rights (%)	Living in U.S.A.	Representative inventor
1	EK0001/ Ebara Corporation	0120307 Natsuki Makino	Extension No.: EK0001 Post No.: Ebara Corporation E-mail: V370	V370 Design Department Process Development Office 2 Development Center 1	E%		
2	EK0001/ Ebara Corporation	0121105 Junji Kunisawa	Extension No.: EK0001 Post No.: Ebara Corporation E-mail: V370	V370 Design Department Process Development Office 2 Development Center 1	E%		

5 [For inventors in affiliates other than Ebara Research/Ebara Densan Ltd. and external inventors]

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<u> </u>	Company code/name	Name	TEL/E-mail	Dept./contact address	Living in U.S.				
1			TEL:						
			E-mail:		٠				

6 [Applicant]

	Applicant code/name (abbreviation)	Contact address, etc.	Share of the rights	Share of the costs (%)	Prosecution by:
1	EK0001 Ebara Corporation	Headquarter address: 11-1 Asahi-machi, Haneda, Ohta-ku, Tokyo Contact address: 11-1 Asashi-machi, Haneda, Ohta-ku, Tokyo 144-8501 Dept.: Intellectual Property Dept. Responsible: Masatoshi Yoda TEL: 0337436289 FAX: 0337455745	E%	E%	Responsible person

7 [Documents of related prior art]

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1	Index (document category)	01 Our related prior art	Attached by: Attached on:
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	Corresponding part		<u>-</u>
	Relativeness		
	Remarks		
8	Index (document		Attached by:
	category)		Attached on:
	Detail (title)		
•	Corresponding part		
	Relativeness		
	Remarks		·
9	Index (document		Attached by:
	category)		Attached by:
	Detail (title)		Attached by:
	Corresponding part		Attached on:
	Relativeness		<u>.  </u>
	Remarks	·	
10	Index (document	·	Attached by:
	category)		Attached on:
	Detail (title)		
	Corresponding part		_
	Relativeness		· ·
	1		<b>⊣</b>

8 [Description of invention (specification draft)]

Specification	Drawings	Others	
Attached by: Attached on:	Attached by: Attached on:	Attached by: Attached on:	

▲ For the responsible	For the boss of the	▼For Patent Dept. of	<b>▼</b> Workflow information
person in the	requesting side	the Group	
requesting side	,		

9 ▼For the boss of the requesting side

	This invention relates to an apparatus configuration required for plating and
i	electropolishing of Cu wiring, more particularly its anode head structure. We have
	delivered the apparatus to the collaboration partner (U.S.).

▲ For the responsible person in the	▲ For the boss of the requesting side	For Patent Dept. of the Group	▼ Workflow information
requesting side		•	

10 ▼For Patent Dept. of the Group

General	Responsible	Mr. Sakaguchi
manager:	Comment	Please.
Responsible person:	Comment	I think foreign filing of the application is required because it has been determined to be important.
	Attachment	Attached by: Attached on:
	Sign of completion	Sakaguchi: Completed

▲ For the responsible in	▲ For the boss of the	▲ For Patent Dept. of	Workflow information
the requesting side	requesting side	the Group	

#### **▼**Workflow information

Current user: seimitsu zzchizai/e/ebara\_jp

Current approver:

Request ID NTNN-5LNM4B

Status: completed

4	4
1	1

Requested by:	Approved by:
natsuki makino/e/ebara_jp	akihiko tashiro/e/ebara_jp yukio fukunaga/e/ebara_jp seimitsu zzchizai/e/ebara_jp
	fumio kondo/e/ebara_jp

#### **▼**Approver information

12

Requested by:	Requested on:	CC mail
natsuki makino/e/ebara jp	May 31, 2003	junji kunisawa/e/ebara jp

Position of the	Name of the	Deadline of the	Status	Date of approval	CC mail
approver	approver	approval		, , ,	
Boss of the	(Approval not				
inventor	required)				
Liaison	akihiko tashiro/e/ebara_jp	June 7, 2003	Approved	June 3, 2003	·
General manager	yukio fukunaga/e/ebara jp	June 10, 2003	Approved	June 3, 2003	
Patent Dept. of the Group	seimitsu zzchizai/e/ebara jp	June 10, 2003	Approved	June 11, 2003	

#### **▼**Comment

CN=akihiko tashiro/0U=e/0=ebara\_jp Approved June 3, 2003 13:49:32 I approve the request. CN=yukio fukunaga/0U=e/0=ebara\_jp Approved June 3, 2003 20:44:10 OK. CN=seimitsu zzchizai/0U=e/0=ebara\_jp Approved June 11, 2003 20:15:14 I approve the foreign filing.

**♦**Action

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February 6, 2004

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comprising, a substrate holder having an electrical contact to a electrode facing the substrate, a control element of the electrode and the substrate, the element having almost the substrate and/a drive mechanism for relative parallel movement e electrode.											
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1 2002-242728 22-A	:		2 2002-350529 02-D		3 2063-015235 23-JE	•	4 2003-015238 23-Ja			5 2003-025159 31-Jai	6 2003-111327 16-Ap

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7 2003-138521	Apparatus and method for		redacted			· ··.
┼─	o May Vol Blectrolytic processing			-	9 Ebara	Under Preparation
8 2003-145017 2:	Apparatus for supplying, recovering, measuring and 22-May-03 replanishing electrolyte		redacted ·			
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9 2003-148326	Substrate processing method		redacted	· .		
┼	o may to and apparatus			2	14 Ebara	Under
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10 2003-149827 27	Plating apparatus and plating 27-May-03 method					
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11 2003-161236 05	Plating apparatus and plating   05-Jun-03 method			· · ·	· .	
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12 2003-161237 05	Flating apparatus and		redacted			
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13 2003-169791 13	Plating apparatus and plating				<u>-</u>	• • •

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Ebar atent Applications (applications later than AUS)

February 6, 2004

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16 2003-310355	02-Sep-03 Apparatus for plating substrate				•	
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19 2003-319066	Plating apparatus and plating					
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20 Ebara

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tial						25-Dec-03 apparatus				Plating apparatus and plating							Plating apparatus and plating method of substrate	4
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Substrate processing apparatus Plating apparatus and plating Plating apparatus and plating Plating apparatus and plating	Substrate processing apparatus and platinmethod of substrate  Plating apparatus and platinmethod of substrate

# Meeting Minutes - The 2nd cost /EBARA JDA Workshop

Date; February 5 & 6, 2004

Place;

redacted

Attendees;

redacted.

Ebara – Manabu Tsujimura, Jay Horiuchi, Yukie Fukunaga, Koji Mishima, Norio Kimura, Ray Fang Keisuke Namiki, Keiichi Kurashina, Isao Nambu, Dan Connell, Kenichi Sasabe, Katsuyuki Musaka

Redacted

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# Redacted

There exist patent for additive distribution control for wide feature leveling by Ebara's competitor, which may interfere with currentdevelopment activities on pad plating. (Ebara)

The patent explains superfill mechanism, which is different from flat overburden (redac)

s disclosure on pad plating ready for Ebara's review (redac)

Ebara filed original Japanese patent application on touch down plaing with "porous element" in 1999.

Will review possible addition of claim and/or coinventor (Ebara)

Still possible to file US patent application with redac as coinventor (redac)

redacted 's disclosure fore-CMP chemistries to be filed as redac's invention, while e-CMP apparatus with the method (chemistries) to be filed as redac /Ebara coinvention (redac)

Ebara's Japanese patent application items#2, 4, 10, 11, 12, 14, 22, 23, 24 to be reviewed in regards to redac's disclosure for possible addition of redac as coinventor (redac)

Ebara's Japanese patent application items#2, 4, 10, 11, 12, 14, 22, 23, 24 to be reviewed in regards to redac's disclosure for possible addition of redac as coinventor (redac)

Ebara's Japanese patent application item#16 to be Ebara invention (redac)

Ebara's disclosure item#26 and 28 to be filed as redac /Ebara coinvention (redac)

Will submit abstract translation of thedraft applications (Ebara)

Ebara's disclosure item#20 can be the same content as redac's disclosure (redac)

Ebara's disclosure item#20 can be the same content as redac's disclosure (redac)

Will submit abstract translation of the draft application (Ebara)

Action Plan
Action Item

Owner

<u>Due</u>

# Redacted

16. Abstract translation of Ebara's Japanese patent applicat	ion K. Sasabe	~Feb'04
(Item#2, 4, 10, 11, 12, 14, 22, 23, 24)	5	~reb 04
17. Abstract translation of Ebara's Japanese patent applicat	ion draft K. Sasabe	~Feb'04
(Item#26, 28, 29)	K. Jasauc	~re0 04

### Musaka, Katsuyuki, 午前 06:53 04/03/09 -0800, EBARA Patent Application Translations

From: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>
To: " redacted (E-mail)" < redacted com>
"" (Colored com)

Cc: "Fukunaga. Yukio (E-mail)" <fukunaga.yukio@ebara.com>."Sasabe Kenichi (E-mail)"

<sasabe.kenichi@ebara.com>

Subject: EBARA Patent Application Translations

Date: Tue, 9 Mar 2004 06:53:01 -0800

X-Mailer: Internet Mail Service (5.5.2653.19)

redacted -san,

Thank you for your time and valuable inputs in our meeting yesterday although your busy schedule.

Please find attached summary of Ebara's patent application status. There are some corrections in the one I handed to you a hard copy yesterday (highlighted in red).

<<EBARA Applications\_030904.xls>>

Attached below are translations of Ebara's Japanese patent applications which hard copies I handed to you today.

<<2003-015236(#4).doc>> <<2003-149827(#10).doc>> <<2003-161236(#11).doc>> <<2003-161237(#12).doc>> <<2003-195406(#14).doc>>

<<2003-431211(#24).doc>> <<2004-022178(#26).doc>> <<2004-023256(#28).doc>> <<K1040028(#29).doc>>

Also, attached below is the Ebara's US patent application. As I explained to you yesterday, the #2 which was filed in Japan on 12/2/02 was abandoned. then re-filed as #22 in Japan on 11/28/03, within 1 year from the original(#2) filing date. The US patent applications for #2 as well as #22 were also filed about the same time, 12/1/03, to obtain the priority of #2,

within 1 year from its original(#2) filing date in Japan.

<<GEB1998US(#22).pdf>> <<GEB1998US Image(#22).tif>> Please review and advise us which you want us to amend for co-invention with redacted

Best Regards. K.Musaka

P.S. I'm still waiting for a translation of #23. I'll e-mail it to you as soon as I receive it.



EBARA Applications 030904.xls



2003-015236(#4).doc



003-149827(#10).doc



2003-161236(#11).doc

# Musaka, Katsuyuki, 午前 06:53 04/03/09 -0800, EBARA Patent Application Translations



2003-161237(#12).doc



2003-195406(#14).doc



2003-431211(#24).doc



2004-022178(#26).doc



2004-023256(#28).doc



K1040028(#29).doc



GEB1998US(#22) pdf



GEB1998US Image(#22).tif

#### Musaka, Katsuyuki, 午後 08:47 04/05/07 +0900, S1 Project 特許の件

To: "Musaka, Katsuyuki" <kmusaka@ebaratech.com> From: Yukio Fukunaga <fukunaga.yukio@ebara.com>

Subject: S1 Project 特許の件

Cc: 笹部憲一 <sasabe.kenichi@ebara.com>,mishima.koji@ebara.com

Bcc: fukunaga.yukio@ebara.com

Attached:

#### 六平 様

昨日TELCONにて打ち合わせた標記の件で、#4、#10、#12、#14、#24の対処の方向に関して、現在辻村役員に打診をしております。

役員は本日不在でまだ内諾が得られておりませんので、大変恐縮ですが5月7日の F-t-F meetingでは「共願」を匂わさずに、「ECにて検討中」という表現に留めて 頂くようお願い致します。 内諾頂き次第ご連絡致します。

なお#26に関しては、内容が理解できる程度の翻訳資料を笹部さんに依頼をしています。時間との関係でどこまでできるかまだ分かりませんが、クレームだけでIBMに判断を仰いでも、ラチがあかないと考えています。

以上、取り急ぎお願いのみ致します。

福永(由)

#### Musaka, katsuyuki, PM 08:47 04/05/07 +09000, Regarding the SI Project patent

To: "Musaka, Katsuyuki" <kmusaka@ebaratech.com> From: Yukio Fukunaga <fukunaga.yukio@ebara.com>

Subject: Regarding the S1 Project patent

Cc: Kenichi Sasabe <sasabe.kenichi@ebara.com>,mishima.koji@ebara.com

Bcc: fukunaga.yukio@ebara.com

Attached:

Dear Mr. Musaka.

Regarding the above subject we discussed at TELCON yesterday, I have contacted Mr. Tsujimura about how we think about our approach to #4, #10, #12, #14 and #24.

He is out today and I have not yet obtained hisinformal consent; therefore, I kindly request you to describe the matter in the F-t-F on May 7 only as "being reviewed at EC," instead of implying "joint application."

As soon as I obtained the informal consent, I will inform that to you.

Regarding #26, I have requested Mr. Sasabe to supply me with the documents translated enough to understand their contents. Due to the time limitation, I am not sure how much we can do. However, I believe asking [redacted: the US company] opinions only by supplying it with those claims does not help.

Here, I quickly note my request as above.

Y. Fukunaga

### 由, 11:25 04/05/21 +0900, Fwd: Export License に関する打合せ

To: 福永(由)室長殿, 三島部長殿, 国澤課長殿, 牧野殿, 赤井部長殿, 篠塚担当部長殿, 坂 口担当部長殿

From: 笹部憲一〈sasabe.kenichi@ebara.com〉 Subject: Fwd: Export License に関する打合せ

Cc: 鈴木室長殿

Bcc: Attached:

#### 各位

Export Licenseに関する打合せを下記にて行いますので、ご出席お願い致します。

5月27日(木曜日) 9:00-12:00 藤沢 V2棟 第5会議室

特願2002-350529 特願2003-399443

の原稿作成、出願依頼、出願、国内優先の計画、国内優先の原稿作成、出願依頼、出願、 外国出願依頼、外国出願など、この出願の発明から出願に到る過程の資料を調査の上、コ ピーをお持ちください。

出願打合せのノート、メモ、弁理士との相談のノート、これら出願に関する記載のある社内の報告書、e-mailなど、関連すると思われる全ての資料のコピーが必要です。 よろしくお願いします。

Date: Tue, 18 May 2004 18:06:53 +0900

To: 福永(由)室長殿, 三島部長殿, 国澤課長殿, 牧野殿, 赤井部長殿, 篠塚担当部長殿, 坂 口担当部長殿

From: 笹部憲一〈sasabe.kenichi@ebara.com〉 Subject: Export License に関する打合せ

#### 各位

redacted の情報が入った出願を日本で米国より先に出願した件に関して、Export Licenseを取 ろうとしています。

redacted

又このときに、各判断の記録や証拠があるか確認して行く必要があります。 牧野さん、国沢さんを含めて、どのような議論が為されてどのような判断をしたか、事実確 認とストーリーの明確化を行いたいと思います。

ご都合の良いところで打合せしたいと思います。 今週は赤井さんが海外出張ですので、来週やりたいと思います。 火曜日(25日)、水曜日(26日)、木曜日(27日)で都合の悪い時間をご連絡ください。 打合せは藤沢で行う予定です。

# 発明から日本出願までに発生した事柄

EbaraがredacにEBRのめっき槽地に付いて説明した。 2002. 6 2002. 8

redacted がEBRにJDPで実施したいことを説明した。

Presentationの資料をEBRは入手。
redacted とEBR(誰)が「redacted とEBR(証)」に関与する装置について相談。 2002. 8

この間、何があったのかな?

2002. 12. 2

EBRが日本出願

Y, 11:25 04/05/21 +0900, Fwd: Meeting regarding Export License

To: General Manager Y. Fukunaga, General Manager Mishima, Manager Kunisawa, Makino,

General Manager Akai, manager Shinozuka, Manager Sakaguchi

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: Meeting regarding Export License

Cc: General Manager Suzuki

Bcc:

Attached:

To all concerned,

This message requests all concerned to attend the meeting aboutExport License as below.

Thursday May 27. From 9:00 a.m. to 12:00 a.m.

Meeting room 5 Building V2, Fujisawa Plant

Application No. 2002-350529

Application No. 2003-399443

The attendants are requested to check all data of processes from invention to filing of the two patents above, including patent drafting, request for filing, filing, scheduling for claming the domestic priority, drafting for claming the domestic priority, request for filing, filing, request for foreign filing, foreign filing, and bring the copies of them.

You must bring the copies of any kind of data if they seems to berelated, including, but not limited to, notes taken in meetings for filing, memos, notes taken in consultation with our attorney, in-house reports containing articles relating to the filing, e-mails, and so on. I call for your cooperation.

Date: Tue, 18 May 2004 18:06:53 +0900

To: General Manager Y. Fukunaga, General Manager Mishima, Manager Kunisawa, Makino,

General Manager Akai, Manager Shinozuka, Manager Sakaguchi

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Meeting regarding Export License

To all concerned,

Regarding the issue that we filed the patent applications including information of [redacted: the US company] in Japan prior to filing in the U.S.A., we are going to apply for the Export License.

[redacted]

As we summarize, we need to check records or evidences of each decision made upon each event.

With Mr. Makino and Mr. Kunisawa, I will check the facts and clarify the story, that is, what were discussed and what were decided through the sequences.

I'd like to hold the meeting when all of you are available.

Mr. Akai is on an oversea business trip this week; thus, the meeting will be held next week. Inform me when you are not available: on Tuesday (25th), Wednesday (26th), or Thursday (27th). The meeting will be held in Fujisawa.

Events occurred from invention to domestic filing

2002. 6 Ebara explained [redacted: the US company] of the plating apparatus of EBR.

2002. 8 [redacted: the US company] explained EBR that they wanted to reduce the invention to practice in the JDP.

EBR obtained the presentation data.

2002. 8 [redacted: the US company] and EBR (who) discussed the apparatus to be lent to [redacted: the US company].

I wonder what happened during this period?

2002. 12. 2

EBR filed the patent applications in Japan Patent Office.

2002.6 EBR -> [redacted: the US company] Explanation about the apparatus.

redacted: the US company]-> EBR Presentation about what they want to do.

[redacted: the US company]/EBR Meeting regarding the apparatus specifications. Minute.

The pad attached to the impregnant. Combination of plating, etching, and the down force.

Meeting regarding prosecution process of impregnation application at Watanabe Office

The 1st meeting regarding filing. Kondo, Shinozuka, Kunisawa, Watanabe. Impregnation. Planarization with plating. 2002.10.1

ntellectual Property Dept. -> Kunisawa. Advised to file. 10/2 Manager Kubota. Instruction.

11.19 Kubo, Kunisawa, Kosugi Kubo-> Shinozuka

Kubo -> Shinozuka. Responsible staff changed. 11/20? Request for drafting

2002.12.2 Domestic filing 2002-350429

2002. Beginning of Oct. Design startd

2003. Beginning of Apr. Delivery

2003.7 Request for foreign filing through the workflow

Request for consideration of new matters

Etching <- Mr. Ogata attached his memos for preparing against Nutool to the request for approval 10.1

10.23 Request for addition

2003.11.28 Domestic priority

2003.12.1 Filing in USA

(1) Did not know that an invention achieved in the U.S.A. should be filed in USA first.

(2) Did not realize the content of this invention includes an invention made by [redacted: the US company]

Makino:(1) +(2)

Kunisawa: (1)

Fukunaga (1)

From: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>

To: "'M Tsujimura'" <tsujimura.manabu@ebara.com>, ogata.akira@ebara.com, "Kobayashi, Fumio (E-mail)" <kobayashi.fumio@ebara.com>,fukunaga.akira@ebara.com,

fukunaga.yukio@ebara.com,tokushige.katsuhiko@ebara.com,

hodai.masao@ebara.com,mishima.koji@ebara.com, asami.masao@ebara.com, "Sasabe Kenichi (E-mail)" <sasabe.kenichi@ebara.com>,Kimura Norio <kimura.norio@ebara.com>,"Nambu, Isao"

<inambu@ebaratech.com>, "O'Gonnell, Dan" <doconnell@ebaratech.com>

Cc: horiuchi.takao@ebara.com, yago.natsunosuke@ebara.com

Subject: Meeting with Mr. redacted

Date: Thu, 10 Jun 2004 23:04:21 -0700

X-Mailer: Internet Mail Service (5.5.2653.19)

Great thanks to everybody participated in the quite intensive discussion in last week while my stay in Japan. I believe our meeting today with Mr. reducted was truly successful and satisfactory.

Dan, Nambu-san, Kimura-san and myself visited Mr. redacted today for the discussion on IP issue in JDA. (redacts san also participated by phone.) The discussion was initiated by Dan explaining historical background of this matter, "Ebara had been working on planer plating technology prior to the engagement with redactor for the JDA, and filed patents before the contract, but after initial technical information exchange with redactor on this matter. Ebara should have informed redactor the background IPs in time to avoid any confusion and conflict on the IP ownership. After internal discussion at Ebara, Ebara agreed to modify those patent applications as co-invention with redactor recognizing its impact on the program and redactor business."

Mr. redacted stated "redac could not understand why Ebara did not submit the background IPs at the 1st workshop in Sept'03 accordingly to the JDA contract". I replied "Ebara understood the contract, and actually submitted the IP list at the workshop. However, the list was too brief to discuss the details, and re-submitted the list with abstracts in the workshop in Feb'04, which caused some delay in our initial discussion on this matter with redac Since then, we've been working with redac technical coordinator for identification of IP ownership, and redac attorneys for modification of total 8 Ebara's Japanese patent applications into co-invention with redac applying for export license for corresponding US patent applications. Tead san also backed us up stating "Those were the same understanding as hers".

I also explained "In order to avoid any confusion in patent application process in the future, Ebara propose to submit whole translation of IP disclosure to redac before filing patent application for ted so review and determining the co-ownership. "redac san stated "1-page summary or abstract of US patent application should be sufficient." Dan stated "This process change requires redac's strong support in timely corresponding redac's decision to Ebara since Ebara rely on steed so reply for filing the patent application."

Finally, I apologized the confusion and promised the compliance to the contract, and Mr. reducted replied "I'm fine, now."

I also talked with redaction and she said "The meeting was quite satisfactory."

I understand it was difficult time for everybody to re-evaluate the contract and determine the countermeasure. Now, I believe, we have better understanding of the contract and how it impacts Ebara's business. We have no choice than succeeding the JDA with ted.

Once again, thank you very much for your understanding and continuous support on this matter.

Best Regards,

K.Musaka

### Mr. Musaka, 19:28 04/02/03 +0900, Ebara Patent List

To: Mr. Musaka

From: 笹部憲一 <sasabe.kenichi@ebara.com>

Subject: Ebara Patent List

Cc: 福永(由)室長殿, 三島部長殿 Mr. Y. Fukunaga , Mr. K. Mishima

Bcc:

Attached: D:¥My Dcuments¥-red 用EBR特許リスト¥EBR Applications 02.2.6.xls;

Dear Mr. Musaka,

Please find attached Ebara patent application list.

Mr. Y. Fukunaga, Mr. Mishima and I selected the possible related Japanease patent

applications filed later than August 2002.

We believe the owner of the applications filed before August 2003, when the PaP Project Contract was agreed, is Ebara alone, because before the contract there was no exchange of confidential information between redac and Ebara.

of confidential information between redaction and Ebara.

Applications filed after August 2003 must be checked by the technology covered by the application. The owner in the list is our idea for the discussion in the meeting. Last four applications are under preparation for application and not filed yet. I think it is difficult for them to understand the contents of the each application after short exlanation at the meeting. I think we had better to discuss about few applications which might be joint applications.

Best regards

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February 6, 2004,

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February 6, 2004

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#### /EBARA JDA Workshop Meeting Minutes - The 2nd

Date;

February 5 & 6, 2004

Place;

redacted

Attendees;

redacted

Ebara - Manabu Tsujimura, Jay Horiuchi, Yukio Fukunaga, Koji Mishima, Norio Kimura, Ray Fang Keisuke Namiki, Keiichi Kurashina, Isao Nambu, Dan Connell, Kenichi Sasabe, Katsuyuki Musaka

Redacted

Redacted

# Redacted

IP List Exchange ( redacted /Kenichi Sasabe)

There exist patent for additive distribution control for wide feature leveling by Ebara's competitor, which may interfere with current development activities on pad plating. (Ebara)

The patent explains superfill mechanism, which is different from flat overburden (redac)

ted 's disclosure on pad plating ready for Ebara's review (redac)

Ebara filed original Japanese patent application on touch down plaing with "porous element" in 1999.

Will review possible addition of claim and/or conventor (Ebara)

Still possible to file US patent application with redac as convention, while e-CMP apparatus with the method (chemistries) to be filed as redac / redac's invention, while e-CMP apparatus with the method (chemistries) to be filed as redac / Ebara's Japanese patent application items#2, 4, 10, 11, 12, 14, 22, 23, 24 to be reviewed in regards to redac's disclosure for possible addition of redac as convention (redac)

Ebara's Japanese patent application items#2, 4, 10, 11, 12, 14, 22, 23, 24 to be reviewed in regards to redac's disclosure for possible addition of redac as convention (redac)

Ebara's Japanese patent application items#16 to be Ebara invention (redac)

Ebara's disclosure item#26 and 28 to be filed as redac / Ebara convention (redac)

Will submit abstract translation of thedraft applications (Ebara)

Ebara's disclosure item#20 can be the same content as redac's disclosure (redac)

Will submit abstract translation of the draft application (Ebara)

Action Plan
Action Item

<u>Owner</u>

Due

# Redacted

16.	Abstract translation of Ebara's Japanese patent application (Item#2, 4, 10, 11, 12, 14, 22, 23, 24)	 K. Sasabe	~Feb'04
<b>17</b> .	Abstract translation of Ebara's Japanese patent application draft (Item#26, 28, 29)	K. Sasabe	~Feb'04



Fax +81-3-3745-5745 (Japan)

2004,2.8.

知財部近藤副部長殿 」転送期間以物、特許部 坂口担当部長殿 "//

# redacted Lo 調整結果報告と依賴 708 笹部

確認した facts.

- 1. 2002.8月の meeting において redacted から合浸材に padを付けることが 説明されている。
- 2. Ebaraは、 他社と共同開発として 含混材を用いため, 3を削発し、1999年12月以降 日本に 特許出顧している。
- 3. 日本の他社による含浸材を用いためっきの出願が1999年2月に有る。

行動計画

- 1. 2002、8月以前に、共同用発にかいて、padを用いてめ、きの特許出願が無かったか確認する.
- 2. redacted として11件 9 出願か共同出願 9 可能性 かあると 考えてかり それら9 出願 9 要約. 請求項.回·伊9 説明 9 英訳 4 回を Ebara が作り、redacted た 送付する. や下記出願 9 上記部分9 英訳 か願いします。約 2 週間.
- 3 redactedと共願が必要となった場合には展明者の追加と

出願人9追加飞行う。 4. 失願9可能性9あ3出願は (報:結構です。 特願 2002-350529 (国内優先) US出願有。 ② 2003-015236 PCT出顧有。 ④ 2003-149827 PCT出顧有。 ④

2003 - 149827 PCT出版有 ①
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K1040028 5、redacted から3件の出願が示けれ、2件は共同、1件はredacted学順。





Fax +81-3-3745-5745 (Japan)

2004.2.8

To: Deputy General Manager Kondo in Intellectual Property Dept.

To: Manager Sakaguchi in Patent Dept.



Please forward.

1/1

# Report of Coordination with [redacted: the US company] and Request

708 Sasabe

#### Confirmed facts

- 1. In the meeting held in August 2002, [redacted: the US company] explained pads would be attached to impregnants.
- 2. Ebara developed a plating technique jointly with a company and filed patent applications in Japan after December 1999.
- 3. A Japanese company filed patent applications for a plating technique using impregnants in February 1999.

#### Schedule of actions

- 1. Check if any patent application for such plating technique using pads invented in the joint development was filed before August 2002.
- 2. [redacted: the US company] regards that 11 applications are possible to be joint applications. Ebara is responsible for preparing English-translated <u>abstracts, claims, brief descriptions of the drawings, explanations of symbols</u> and drawings of these applications, and sending them to [redacted: the US company]. => Please translate the above-mentioned parts the applications listed below in about two weeks.
- 3. When such applications are decided to be the joint applications with [redacted: the US company], add the inventors and applicants.
- 4. Listed below are possible joint applications.

If the English-translated text can be used as they are, its OK.

	•			
App. No.	2002-350529	(Original application of the domestic priority)	Filed in the U.S. A.	(2)
-	2003-015236	•	Filed through PCT.	(4)
	2003-149827		Filed through PCT.	(10)
	2003-161236		Filed through PCT.	(1,1)
	2003-161237	•	Filed through PCT.	(12)
	2003-195406	·	Filed in Japan only.	(14)
	2003-399443	(Domestic-priority-claimed application of 2002-350529)	Filed in Japan only.	(22)
	2003-431211	,	Filed in Japan only.	(24)
•	K1030446	•		(26)
	K1040012	·		(28)
	K1040028	·		(29)

<sup>5. [</sup>redacted: the US company] disclosed three applications: two will be the joint applications while the rest ([redacted: technical field]) will be sole application of them.

# Mr. Hiroyuki Hagiwara, 18:25 04/02/28 +0900, 米国における発明者追加について

To: Mr. Hiroyuki Hagiwara

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉 Subject: 米国における発明者追加について

Cc: Bcc: Attache

Attached:

Fish & Neave 萩原弁護士殿

いつもお世話になり有難うございます。 Portlandにて口頭でお伺いしましたが、下記の点に関してアドバイスいただきたくお願い致します。

Redacted

# Redacted

恐縮ですが、来週(3月第1週)末までにアドバイスいただければ助かります。

笹部 憲一

This information is intended for the use of the addressee and may contain information that is privileged and confidential. If you are not the intended recipient you are hereby notified that the unauthorized dissemination of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately.

### Mr. Hiroyuki Hagiwara, 18:25 04/02/28 +0900, Regarding addition of inventors in US

To: Mr. Hiroyuki Hagiwara

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Regarding addition of inventors in US

Cc:

Bcc:

Attached:

Fish & Neave

Dear Attorney Hagiwara,

We always appreciate your advice and support for the patent issues.

As I orally mentioned in Portland, I'd like to ask for your advice again regarding the following points.

[REDACTED]

## [REDACTED]

We'd appreciate if you could give us your advice till the end of next week (1st week of March).

Kenichi Sasabe

### [Below to the end is originally English text.]

This information is intended for the use of the addressee and may contain information that is privileged and confidential. If you are not the intended recipient you are hereby notified that the unauthorized dissemination of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately.

To: "Kenichi Sasabe (E-mail)" \sasabe@fuj.ebara.co.jp>

Cc. "Hagiwara, Hiroyuki" <HHagiwara@fishneave.com>, "Toh, Kaede" <KToh@fishneave.com>

Subject: Response to your question regarding U.S.-Japan joint development situation

> ——Original Message

> From: Zamot, Lucila

> Sent: Wednesday, March 03, 2004 5:30 PM

> To: Jackson, Robert R.

> Subject: Sasabe letter

> <<Sasabe ltr.PDF>>

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Herbert F. Schwartz Eric C. Weglern Robert G. Margeri Kenneth B. Herman Robert R. Jackson Jesse J. Jenner W. Edward Balley Pathicia A. Martone Robertick R. McKelvier Jamen F. Halloy, M. Fichard M. Barnes Laurenou S. Rogers Vincent N. Palladion

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Daniel M., Gantt
Norman H. Bearner
Kein J. Colligan
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Gerald J. Fiatimana, Jr.
Kevin P.B. Johnson\*
Fernance J. P. Keziney\*
Robert W. Morris
Avinsah S. Lete\*
Jane T. Gunnison
Richard L. Rainey\*
James E. Hepenfeld\*\*
Patho D. Hendler
Brian C. Cannon\*
Robert B. Wilson

Of Counsel
Athert E. Fey
Kerpeth A. Genoni
Gene W. Lee
Martin A. Leray
Daniel M. Bocker\*
Senior Attorneys
A. Peter Atler
Romas J. Vetter
Chairles Culen
Uss E. Cristal
Gathride E. Higgins
Homas P. Burke

Frederick P. Fish 1855-1930 Charles Neave 1867-1937

California and New York Hors — California Bor Only — OC Bar Only

ROBERT R. JACKSON
DIRECT DIAL 212.596.9022
E-MAIL RIACKSONOFISHNEAVE.COM

March 3, 2004

#### VIA B-MAIL

Mr. Kenichi Sasabe General Manager Ebara Corporation Patent Department New Product Development Division Precision Machinery Group 42-1 Honfujisawa Fujisawa-shi 251-8502 Japan

Hypothetical Questions
Regarding U.S.-Japan
Joint Development Situation
Our File: 1184.001

Dear Mr. Sasabe:

Thank you for your inquiry.

The following is my attempt to at least partly answer your questions.

Please make sure that what I say does not reflect some factual misunderstanding by me. If you detect any such misunderstanding, please accept my apology, and please correct me

1251 AVENUE OF THE AMERICAS, NEW YORK, NY 10020 TEL 212.596.9000 FAX 212.596.9090 525 UNIVERSITY AVENUE, PALO ALTO, CA 94301 TEL 650.617.4000 FAX 650.617.4090 1825 I STREET, NW. SUITE 400. WASHINGTON DC 20006 TEL 202.857.5222 FAX 202.857.5237

Mr. Kenichi Sasabe March 3, 2004 Page 2

Mr. Kenichi Sasabe March 3, 2004 Page 3

Mr. Kenichi Sasabe March 3, 2004 Page 4

Mr. Kenichi Sasabe March 3, 2004 Page 5

# redacted

Feedback from you regarding the foregoing would now be helpful to me.

Sincerely yours,

Whent P. Jackson
Robert R. Jackson

RRJ:1z

### Mr. Pedersen, 17:04 04/05/11 +0900, Export license for Japanese application

To: Mr. Pedersen

From: 笹部憲一〈sasabe.kenichi@ebara.com〉 Subject: Export license for Japanese application

Cc: Mr. Akai

Bcc:

Attached: D:¥My Dcuments¥; redac PaP project¥Mr.Pedersen.doc;

Dear Mr. Pedersen,

Please give us your advise on the issue described in the attached document by the end of this week.

If you need more information please let me know by e-mail.

I will have a telephone conference with redac attorney on this matter next week.

Best regards,

Kenichi Sasabe Patent Department Ebara Corporation

# Mr. Pedersen, 15:17 04/05/15 +0900, Export License

To: Mr. Pedersen

From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: Export License

Cc: Mr. Akai, Mr. Saito, Mr. Y.Fukunaga

Bcc:

Attached: D:¥My Dcuments¥ redac PaP project¥Export License.doc;

Dear Mr. Pedersen

I have studied your letter and the article by Mr. Helfgott but I really cannot understand how far or how precise we must describe the situations and reason of the error. I drafted a draft attached to this e-mail.

Please give me your comment.

Please point out any comments, for example what to say ,what not to say, etc. I think this kind of document submitted to USPTO may be a part of the file wrapper of the related US application. I want to say as little as possible to get the export license.

redacted

I appreciate if you can give me your comment by 10:00pm on May 18 inJapantime (9:00am May 18 EST)

Best regards, Kenichi Sasabe

## Mr. Pedersen, 12:49 04/05/18 +0900, Export license

To: Mr. Pedersen

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: Export license

Cc. Mr. Akai, Mr. Shinozuka, Mr. Saito

Bcc: Attached:

Dear Mr. Pedersen

redacted

Please give us your brief advice for the question (1) by May 19, 9:00pm Japan time (May 19, 8:00am EST)

I am sorry we don't have enough time to consider.

Best regards, Kenichi Sasabe

### Mr. Musaka, 11:45 04/05/19 +0900, Fwd: Export license

To: Mr. Musaka

From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: Fwd: Export license

Cc: Bcc:

Attached:

#### 六平様

下記のメールはEBRの米国出願を担当している弁護士とのやり取りですが、多くの出願に関してライセンスを取ることに対する弁護士からのアドバイスです。#2、#22に関してライセンスを取ることと、関連する7件に関して取ることで、決定的に難しくなることは無さそうです。 ご参考までにお送りいたします。

Date: Wed, 19 May 2004 08:44:35 +0900

To: Mr. Y.Fukunaga, Mr. Mishima

From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: Fwd: Export license

福永様、三島様

Pedersen弁護士から回答がきました。 昨日Pedersenに送ったメールは以下の物です。

Dear Mr. Pedersen

Please give us your brief advice for the question (1) by May 19, 9:00pm Japan time (May 19, 8:00am EST) I am sorry we don't have enough time to consider.

Best regards, Kenichi Sasabe

Subject: Export license

Date: Tue, 18 May 2004 17:28:41 -0400

Thread-Topic: Export license

Thread-Index: AcQ9Hxce2SSOqX65QCiKZ2e3wEljxA=From: "Nils E. Pedersen" <a href="mailto:representation:"">representation: representation: repres

Dear Mr. Sasabe,

# redacted

Please let me know what further questions you may have.

Sincerely,

Nils E. Pedersen

for

WENDEROTH, LIND & PONACK, L.L.P.

Attomeys and Counselors at Law

Patents, Trademarks, and Copyrights

2033 K Street, N.W., Suite 800

Washington, DC 20006 U.S.A.

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sending an e-mail to wlp@wenderoth.com, and destroy all copies of this message and any attachments. Thank you. If you are not the intended recipient, you are not authorized to read, print, copy, retain, or disseminate this email or any information included in this email.

For more information about Wenderoth, Lind & Ponack, L.L.P., please visit us on the web at <a href="https://www.wenderoth.com">www.wenderoth.com</a>

Mr. Musaka, 11:45 04/05/19 +0900, Fwd: Export license

To: Mr. Musaka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: Export license

Cc: Bcc:

**D**00.

Attached:

Dear Mr. Musaka,

I'd like to forward the communication with the attorney for EBR responsible for filing in the U.S.A. as a reference. He offers us some advices regarding obtaining licenses for many patent applications. Briefly to say, if we obtain licenses for #2 and #22 and seven related applications, filing in the U.S.A. will not be critically hard.

Date: Wed, 19 May 2004 08:44:35 +0900

To: Mr. Y.Fukunaga, Mr. Mishima

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: Export license

Mr. Fukunaga, Mr. Mishima

Our Attorney, Mr. Pedersen gave me his reply.

The message below is the mail I sent to Mr. Pedersen yesterday.

[Below to the end is originally English text.]

### 由, 10:42 04/05/24 +0900, Fwd: Petition and Statement Your Ref: GEB1988

To: 福永(由)室長殿

From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: Fwd: Petition and Statement Your Ref: GEB1988

Cc: 赤井部長殿, 篠塚担当部長殿

Bcc:

Attached: C:\footnote{C:\footnote{PROGRAM} FILES\footnote{EUDORA\footnote{FILES\footnote{EUDORA\footnote{Fales}} PaP project\footnote{EUDORA\footnote{Fales}} PaP project\footnote{Fales} PaP project\footnote

### 福永様

Pedersenさんのメールは文字化けしていますが、ブランクなどが変な文字に置き換わっているだけのようですので、添付のWord文書のようになると思います。

このような内容で直接の関係者それぞれのpetition(請願)を作っていく必要があります。

Statementの方は笹部の名前になっていますが、私は後で調べて分かった部分が多いので、直接の知識のある方にお願いすることになると思います。

Pedersenさんにはまだ相談していませんが、このプロジェクトに関する包括ライセンスを取っておく必要があると思います。

Subject: Petition and Statement Your Ref. GEB1988

Date: Sat, 22 May 2004 10:52:08 -0400

X-MS-Has-Attach: yes

Thread-Topic: Petition and Statement Your Ref: GEB1988 Thread-Index: AcRADFtJFJ/QEyZ6R6mRalz1DYNCMQ=From: "Nils E. Pedersen" <npedersen@wenderoth.com>

To: <sasabe.kenichi@ebara.com>

May 24, 2004

**Ebara Corporation** 

Patent Department

11â€'1 Asahiâ€'cho, Haneda, Ohtaâ€'ku

Tokyo 144‑8510, Â JAPAN

Attn:Â Mr. Kenichi Sasabe

Dear Mr. Sasabe:

redacted

# redacted

Sincerely,

Nils E. Pedersen

for

WENDEROTH, LIND & PONACK, L.L.P.
Attorneys and Counselors at Law
Patents, Trademarks, and Copyrights
2033 K Street, N.W., Suite 800
Washington, DC 20006 U.S.A.

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For more information about Wenderoth, Lind & Ponack, L.L.P., please visit us on the web at <a href="https://www.wenderoth.com">www.wenderoth.com</a>

#### Y, 10:42 04/05/27 +0900, Fwd: Petition and Statement Your Ref GEB1988

To: General Manager Y. Fukunaga

From Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: Petition and Statement Your Ref: GEB1988

Cc: General Manager Akai, Manager Shinozuka

Bcc:

Attached: C:\text{C:YPROGRAM FILESYEUDORA\text{\text{\*}}attach\text{\*}petition.doc;C\text{\*}PROGRAM FILES\text{\*}EUDORA\text{\*}attach\text{\*}verified statement.doc;D\text{\*}My Documents\text{\*}[redacted: the US company]PaP project\text{\*}Letter from pedersen04.05.24.doc;

Dear Mr. Fukunaga,

The message sent by Mr. Pedersen was garbled; though, the garbled characters are blanks only. You can read his message in the attached Word file.

Referring the statement as Mr. Pedersen prepared, we need to prepare petitions for each person directly responsible for the issues.

His example statement is to be signed by me, Sasabe; however, I will request people who directly know about the issues because I learned many things later after studying.

Although I have not asked Mr. Pedersen for his opinion yet, I think we should obtain the open general license on this project.

[Below to the end is originally English text including garbled characters.]

### kmusaka@ebaratech.com, 19:48 04/03/06 +0900, Fwd: S1プロジェクトPat Listの件

To: kmusaka@ebaratech.com

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉 Subject: Fwd: S1プロジェクトPat Listの件

Cc: fukunaga.yukio@ebara.com, mishima@shi.ebara.co.ip

Attached: D:¥My Dcuments¥ redac PaP project¥English translation of Ebara applications for redac ¥2003–015236.doc; D:¥My Dcuments¥ redac PaP project¥English translation of Ebara applications for redac ¥2003-149827.doc; D:¥My Dcuments¥redac PaP project¥English translation of Ebara applications for redac ¥2003-161236.doc; D:¥My Dcuments¥redac PaP project¥English translation of Ebara applications for redac ¥2003-161237.doc;

Dear Musaka-san

Please find attached translation of Ebara's Japanese applications. We prepared the English translation of the following applications

Item No.	Application No.
4	2003-015236
10	2003-149827
11	2003-161236
12	2003-161237
14	2003-195406
24	2003-431211
26	2004-022178
28	2004-023256
29	K1040028

At the meeting I explained that the item No.26-28 was under preparation for application. But 26-28 was already filed by the end of January 2004. Item No.29 is not filed yet.

Item No. 22 is a domestic priority application (国内優先) of the original application No.2. The original application (Item No. 2) is abandoned and amended application No. 22 is alive. I explained that item No.2 was filed in US and item No.22 was not filed in US. But I found the US application included the amended claims and this US application is the application of item #22 instead of item #2.

I will send the US application on Monday because I don't have e-data of this application.

Item #23 is not prepared yet. Because I did not notice item #23 was included in the applications to be reviewed until I received the Meeting Minutes. Please give us some more time for this application.

I will send the English translations listed above in 2 separated mails.

Best regards Kenichi Sasabe

X-Sender: yf08594@pop.ebara.co.jp

X-Mailer. QUALCOMM Windows Eudora Version 4.3.2-J

Date: Fri, 05 Mar 2004 13:03:37 +0900

To: sasabe.kenichi@ebara.com

From: Yukio Fukunaga \fukunaga.yukio@ebara.com>

Subject: S1プロジェクトPat Listの件

Cc: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>, mishima.koji@ebara.com

特許部

### 笹部 様

標記の件大変恐縮ですが、翻訳結果を ETI 六平さんに~3/9(US)までに電子データにて送付をお願い致したく。 (六平さんがその後一週間半出張で留守になるため、出張前にに説明しておきたいとのことです)

ご多忙中申し訳ございませんが、よろしくお願い致します。

福永(由)

### kmusaka@ebaratech.com, 19:48 04/03/06 +0900, Fwd: Regarding S1 Project Pat List

To: kmusaka@ebaratech.com

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: Regarding S1 Project Pat List

Cc: fukunaga.yukio@ebara.com, mishima@shi.ebara.co.jp

Bcc:

Attached: D:\text{My Documents}\text{[redacted: the US company] PaP project\text{English translation} of Ebara applications for [redacted: the US company]\text{\text{\text{2003-015236.doc; D:\text{\text{\text{My}}}}} Documents\text{\text{[redacted: the US company]\text{\text{\text{\text{2003-149827.doc; D:\text{\tex{

applications for [redacted: the US company]¥2003-161237.doc [Below to the beginning of the next message is originally English text excluding the bold characters.]

Dear Musaka-san

Please find attached translation of Ebara's Japanese applications.

We prepared the English translation of the following applications

ltem No.	Application No.
4	2003-015236
10	2003-149827
11	2003-161236
12	2003-161237
14	2003-195406
24	2003-431211
26	2004-022178
28	2004-023256
29	K1040028

At the meeting I explained that the item No.26-28 was under preparation for application. But 26-28 was already filed by the end of January 2004. Item No.29 is not filed yet.

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I explained that item No.2 was filed in US and item No.22 was not filed in US. But I found the US application included the amended claims and this US application is the application of item #22 instead of item #2.

I will send the US application on Monday because I don't have e-data of this application.

Item #23 is not prepared yet. Because I did not notice item #23 was included in the applications to be reviewed until I received the Meeting Minutes. Please give us some more time for this application.

I will send the English translations listed above in 2 separated mails.

Best regards Kenichi Sasabe

X-Sender: yf08594@pop.ebara.co.jp

X-Mailer: QUALCOMM Windows Eudora Version 4.3.2-J

Date: Fri, 05 Mar 2004 13:03:37 +0900

To: sasabe.kenichi@ebara.com

From: Yukio Fukunaga <fukunaga.yukio@ebara.com>

Subject: Regarding S1 Project Pat List

Cc: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>, mishima.koji@ebara.com

Patent Dept.

Dear Mr. Sasabe,

I would like to ask you to send the translation result regarding the Pat list to Mr.Musaka of ETI by 9 April (US) via e-mail.

(Mr. Musaka will leave the office for the business trip for about one and a half week after that date. He says he wants to explain to [edacted: the US company] before making his trip.)

I realize you are very busy; though, I would appreciate your cooperation.

Y. Fukunaga

### kmusaka@ebaratech.com, 23:12 04/03/09 +0900, S1 project patent

To: kmusaka@ebaratech.com

From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: S1 project patent

Cc: fukunaga.yukio@ebara.com, mishima.koji@ebara.com

Attached: D:¥My Dcuments¥<sup>redac</sup>用EBR特許リスト¥Ebara Patent Applications Mar0904.xls;

### 六平様

ご指摘のありましたリストのitem # 2と#22の外国出願欄を修正しました。添付します。

Item #2と#22の関係について説明します。

それぞれの出願日は

出願番号

出願日

Item #2

2002-350529

2002.12.2 2003.11.28

#2の国内優先出願 2003-399443 Item #2のUS出願

未入手

2003.12.1

です。

日本で国内優先を行って、親出願と国内優先出願とを優先権主張して外国出願を行う 事が多いのすが、国内での国内優先出願が手間取りますと、国内優先より前に外国 出願することになります。この場合には、優先権主張は親出願だけとなり、親出願に 開示されていない事項は外国出願日が出願日となります。 今回は11月29日が土曜日ですので、実質1稼動日の違いで国内優先の方が早かった ことになりますが、米国出願は進めていた手続きに従って12月1日に出されています。 このため、US出願には優先権として2002-350529のみが記されています。 (親出願の優先権を生かすためには12月2日までにUS出願が必要で、優先権証明を 取ったりしているよりUS出願した方が早いためこのように処理しています。)

お送りしたUS出願原稿で#22で追加になっている部分は以下の部分です。

p.7 line 13-line 21

p.8 line 14-p.10 line 11

p.11 line 4-p.13 line 8

p.14 Fig.15, 17の説明

p.15 Fig.18-21の説明

p.36 line 5- p.37 line 6

p.38 line 5- p.45 line 2(最後)

Claim 17-21, 24-27

内容としては、複数の電極ヘッドを用いた複数段の処理、複数の処理液を用いた複数 段の処理がitem #2に追加されています。

US出願は12月1日に出願されていますが、米国の代理人事務所から日本の弁理士事 務所にまだApplication Noの連絡が入っておらず、現時点では分かりません。分かり次 第連絡いたします。

以上、よろしくお願い致します。 笹部

#### Kmusaka@ebaratech.com, 23:12 04/03/09+0900, S1 project patent

To: kmusaka@ebaratech.com

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: S1 project patent

Cc: fukunaga.yukio@ebara.com, mishima.koji@ebara.com

Bcc:

Attached: D:\text{My Documents}\text{EBR Pat list for [redacted: the US company]\text{\text{FEbara Patent}}
Applications Mar0904.xls;

Mr. Musaka,

For the list items #2 and #22 you pointed out, I've corrected the descriptions in the column for foreign application filing. The corrected one is attached to this email.

The relation between Items #2 and #22 is as described below.

Their application Nos. and filing dates are:

Application No. Filing date

Item #2 2002-350529 December 2, 2002

Domestic priority application for #2 2003-399443 November 28, 2003

U.S. application of Item #2 N/A December 1, 2003

Usually, we first file an original patent application and its domestic priority application in Japan, and then file its foreign application with a claim of priority for the original and domestic priority applications. In cases where it takes long time to file domestic priority applications, we file relevant foreign applications in advance of the domestic priority applications. In these cases, priority is claimed for their original applications only; for items not disclosed in the original applications, the foreign application filing date becomes the filing date.

For Items #2 and #22, the domestic priority application was filed one operating day earlier than the U.S. application (because November 29 is Saturday), which was filed on December 1 in the ongoing process.

As a result, the U.S. application claims priority for 2002-350529 only.

(To make priority for the original application effective, the U.S. application must have been filed on or before December 2. These steps have been taken because filing the U.S. application is more time-effective than obtaining priority certificates.)

The following items have been added to #22 in the submitted U.S. application draft.

- p.7 line 13 to line 21
- p.8 line 14 to line 11 in p.10.
- p.11 line 4 to line 8 in p.13
- p.14 Description of Figs.15 and 17
- p.15 Description of Figs.18 to 21
- p.36 line 5 to line 6 in p.37
- p.38 line 5 to line 2 in p.45 (end)

Claims 17 to 21 and 24 to 27

Descriptions on a multi-stage process using multiple electrode heads and a multi-stage process using multiple processing liquids have been added to Item #2.

Regarding to the U.S. application filed on December 1, our attorney frm in Japan is not informed of the application No. from the attorney firm in the United States. I will let you know as soon as I figure out the No.

Sincerely,

Sasabe

# 中柴部長殿, 赤井副部長殿, 近藤副部長殿, 篠塚担当部長殿, 23:51 04/03/17 +0900, ted 関連出

To: 中柴部長殿, 赤井副部長殿, 近藤副部長殿, 篠塚担当部長殿

From: 笹部憲一〈sasabe kenichi@ebara.com〉

Subject: redac 関連出願の出願方法

Cc: 福永(由)室長殿, 三島部長殿, 坂口担当部長殿

Bcc:

Attached:

### 知財部各位

redac 関連の新規出願については、今後下記のようにしたいと考えますので、問題点のご検討 をお願いします。 大きな問題点がなければ、この案をベースに進めたいと考えます。

redac -tedとは共同開発契約の中で、

- 1. このプロジェクトにかかわる発明は、発明後30日以内に相手側のTechnical Coordinator に書類で連絡する
- 2. 連絡を受けた側はその案件が共願に該当するか検討し回答する
- 3. 特許出願後2ヶ月以内に、出願のコピーを相手側に渡す。
- ことになっています。なお、Technical Coordinatorは、redac redac to EBR: 六平さんです。

このため、今後は社関連出願は

- このため、ラ後は食産品願は、 1. 発明等届出書の段階で、ted 関連となる可能性について検討する。(特許部→福永由紀
- 夫室長) 2. redac 関連の可能性のあるものは、発明の要約の英訳を作成し、Excel sheetに記入して六平さんに送付する。
- 3. 六平さんは「社に連絡し、検討を依頼する。
- 4. 上記2、3と並行して、弁理士に依頼して出願書類を作成する。

5. redac からの回答が、共願希望の場合には、redac の発明者を加えて、英訳し、米国第1国出願とする。

- 6. 出願から2ヶ月以内に、出願現行のコピーを六平さんを通してredacに渡す。
- 7. redac の回答が、共願不要であれば、在原の発明者のみで日本国内に出願する。 / -ted の凹合か、共願不安でのれば、任原の光明句のかでロ本国内に正願する。 8. クレームと要約との英訳を作成し、出願から2ヶ月以内にコピーを六平さんを通してtedに 渡す。
- 対象となる出願は、接触、擦りを伴う含浸めっき、及び電解加工、電解CMPです。

今後、新規の出願に関しては上記の方法によることと致したく、問題点のご検討お願いしま す。 特に、共願の場合は将来の問題を防止する意味で米国第1国出願としますので、ご注意お 願いします。 万一、redac 関連と思われる出願がチェックなしに知財部に回っていると思われる場合には、恐縮ですが、ご連絡お願いします。

米国第1国出願とした場合には、6ヶ月以上1年以内経過した後、米国から外国出願しま

なお、共同開発が継続しますので、エキスポートライセンスは取得しておいた方がよいと考え ます。 昨年のEBR関連会社の問題のその後、及び現在ライセンスを取得する上での問題につい て、SSDに確認してください。

General Manager Nakashiba, Deputy General Manager Akai, Deputy General Manager Kondo, Manager Shinozuka, 23:51 04/03/17+0900, How to file [redacted: the US company]-involved applications

To: General Manager Nakashiba, Deputy General Manager Akai, Deputy General Manager Kondo, Manager Shinozuka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: How to file [redacted: the US company]- involved applications

Cc: General Manager U. Fukunaga, General Manager Mishima, Manager Sakaguchi

Bcc:

Attached:

To all concerned in Intellectual Property Dept.

I propose that new [redacted: the US company]- involved applications will be filed in the procedure described below. Your check and review would be very appreciated. If everything is OK, I will go ahead based on this proposal.

According to the joint development contract with [redacted: the US company].

- 1. Any invention linked to this project shall be reported to Technical Coordinator of the other side with a written notification within 30 days of the invention
- 2. The side receiving the report shall consider and reply whether the invention is subject to a joint patent application or not, and;
- 3. Copies of the application documents shall be delivered to the other side within two months of the patent application filing.

Technical Coordinator of [redacted: the US company] is [redacted: personal name] and of EBR is Mr. Musaka.

Considering this contract, follow the procedure described below for filing [redacted: the US company]- involved applications:

- 1. Consider the possibility that an invention may be related to [redacted: the US company] upon preparation of "Notification of Invention" (Patent Dept. -> General Manager Yukio Fukunaga).
- 2. For an invention that may be related to [redacted: the US company], translate the abstract of the invention into English. Then, fill out the Excel form and submit it to Mr. Musaka.
- 3. Mr. Musaka will contact [redacted: the US company] and ask for its review.

- 4. Along with Steps 2 and 3, ask appropriate attorneys to prepare documents for application filing.
- 5. When [redacted: the US company] replies that the patent application of the invention should be a joint application, add an inventor or inventors in [redacted: the US company] to the documents and translate them into English. Then, file the first application in the United States.
- 6. Deliver a copy of the application draft through Mr. Musaka to [redacted: the US company] within two months of the application filing.
- 7. When [redacted: the US company] replies that the joint patent application of the invention is not required, file the application in Japan under name(s) of the inventor(s) in Ebara only.
- 8. Translate the claims and the abstract of the invention into English and submit copies of the translations through Mr. Musaka to [redacted: the US company] within two months of the application filing.

Applications related to impregnation plating, electro-chemical process, and electro-chemical mechanical polishing that involve contact and rubbing are subject to the procedure above.

I propose that new applications will filed according to the procedure above in the future, and your check and review would be greatly appreciated.

Take particular note of joint applications that would be filed first in the United States to prevent future trouble.

If any [redacted: the US company]-involved application appears to have been sent to Intellectual Property Dept. with no check done, I would be very grateful for reporting me about it.

To file the first patent application of an invention in the United States, the application will be filed in the United States as a foreign application in six months or more and within one year.

Appropriate export licenses should be obtained because the joint development continues. For the troubles occurred after the issues caused by an affiliate of EBR last year and current issues related to obtaining the licenses, consult SSD.

# Mr. Musaka, 三島部長殿, 14:43 04/04/29 +0900, -ted /EBR 出願

To: Mr. Musaka, 三島部長殿
From: 笹部憲一〈sasabe.kenichi@ebara.com〉
Subject: -ted /EBR 出願
Cc: 福永(由)室長殿

Bcc:

BCC:
Attached: D:¥My Dcuments¥-red PaP project¥六平様送付資料のコメント.doc; D:¥My Dcuments¥-red PaP project¥Ownership of patent applications 04.04.29.xls; D:¥My Dcuments¥-red PaP project¥三島さん-red ではは、 red ではないでは、 red で red で

4月24日にお話しましたEBRの主張をお送りします。 referenceはお持ちと思いますが、念のためお送りします。 referenceのvolが大きいため、何度かに分けてお送りします。 荏原の出願が荏原の権利であることを -ted に説明するための資料です。

### #4について

4月24日にお話しましたが、本日資料を見直していて、redac の 2002 年8月の資料の"Tool Design / Process Development Plan"の表に Design Modification として "Provide adjustable wafer/pad distance coupled to applied Volt." と言う言葉を見つけました。

24 日には redacted からはパッドとウエハの押付け力 (Down force) は常に+なので、パッドとウエハは接触していると考えていましたが、これでは差が言えなくなりました。このため、電流が逆転しないことを理由にしました。電流の大きさを変えることは redacted からは開示されていませんので、上記 Design Modification にある applied Volt.も電流の polarity の変化と考えました。

このため、クレーム 1、2、6.8の voluntary amendment も applied voltage を applied plating voltage に変更する程度としたいと思います。

redacted に出している英文は、日本出願の翻訳でほぼ正確な翻訳ですが、英文のクレーム として検討した物ではありませんので、実際に外国出願する場合には翻訳は変わると思 います。

この場合にも、電圧が基板側がカソード電圧又はゼロになるような範囲に限定した翻訳 にします。

三島さんは redac から示されたのはヘッドにパッドをつけた図と、めっきとエッチングを繰り返すプロセスの図だけだとのことですが、8/23/02の日付の Tool Modification for 200mm Plating & Electropolishing Modules という議事録(jointly agreed between Ebara and redac that ・・・)という文書があり、control z-motion、 control down force by distance and calibrate distance vs force などが合意されていますので、三島さんが記憶している 2 枚の図よりはもう少し具体的な議論がされていたかもしれません。

#### #10 について

Ebara の単願としたい。このためクレーム 13 は取り下げる。

### #12、14、24 について

全て Ebara の単願と考える。

Mr. Musaka, General Manager Mishima 14:43 04/04/29 +0900, [redacted: the US company]/EBR application

To: Mr. Musaka, General Manager Mishima

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>
Subject: [redacted: the US company]/EBR application

Cc: General Manager U. Fukunaga

Bcc:

Attached: D:\(\frac{1}{2}\)MyDocuments\(\frac{1}{2}\)[redacted: the US company]\(\frac{1}{2}\)PaP project\(\frac{1}{2}\)Comments on documents sent by Mr. Musaka.doc; D:\(\frac{1}{2}\)MyDocuments\(\frac{1}{2}\)Ownership of patent applications 04.04.29.xls; D:\(\frac{1}{2}\)MyDocuments\(\frac{1}{2}\)[redacted: the US company]\(\frac{1}{2}\)PaP project\(\frac{1}{2}\)Mr. Mishima[redacted: a Japanese company]\(\frac{1}{2}\)PresentationRubbingJuly.01.ppt; D:\(\frac{1}{2}\)MyDocuments\(\frac{1}{2}\)[redacted: the US company]\(\frac{1}{2}\)PaP project\(\frac{1}{2}\)Mr. Mishima[redacted: the US company]\(\frac{1}{2}\)[redacted: a Japanese company]\(\frac{1}{2}\)HubbingPlatingSept.01.ppt;

I send you the Ebara's point of view that I have talked on April 24.
I think you have the reference, but I send it, just in case.
Because the volume of reference is huge, I will divide it into several mails.

Dear Mr. Musaka,

This is a document to explain [redacted: the US company] the applications filed by Ebara in Japan should belong to Ebara

### Regarding #4

As I have informed on April 24, I found words, "Provide adjustable wafer/pad distance coupled to applied Volt." as Design Modification in the table "Tool Design / Process Development Plan" in the documents of August 2002 by [redacted: the US company] when I was reviewing the document today.

On 24th, I had been thinking that the pad and the wafer was always in contact because of the pressing force of the pad and the wafer (down force) was always + based on the presentation by [redacted: the US company]. However, because of it, we can no longer say the difference.

Therefore, I used a point that the current does not invert for that reason. Changing the current intensity is not disclosed by [redacted: the US company]; therefore, I interpreted the applied Volt. in the above Design Modification as change of current polarity.

Therefore, I would like to make changes to voluntary amendment in the claims 1, 2, 6, 8 to the degree, from applied voltage to applied plating voltage.

Although the English translation submitted to [redacted: the US company] is the translation of the Japanese patent application and is almost exact translation. However, this is not discussed for using as the claims in English, the translation will be changed when actually filing it for a foreign application.

In this case, too, the translation is going to be a range limited such that the voltage on the substrate side becomes either the cathode voltage or zero.

Mr. Mishima says what [redacted: the US company] presented were only a drawing of a head having a pad and a drawing of a process repeating plating and etching. However, the minutes, Tool Modification for 200mm Plating & Electropolishing Modules, dated on 8/23/02, contains a sentence (jointly agreed between Ebara and [redacted: the US company] that ...), and matters including control z-motion, control down force by distance and calibrate distance vs force have been agreed. Therefore, more in-depth discussions might have been taken place than what Mr. Mishima remembers about two drawings.

### Regarding #10

We desire to file it as the Ebara solo application. Therefore, we drop the claim 13.

### Regarding #12, 14, 24

We see all of them for the Ebara solo application.

Attachment Preliminary amendments



## 由, 08:55 04/05/06 +0900, Fwd: FW: Ebara Patent Applications and subject of telecon 5/06/

To: 福永(由)室長殿

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: Fwd: FW: Ebara Patent Applications and subject of telecon 5/06/04 at 5:00 pm

Cc:

Bcc:

Attached: C:\text{C:YPROGRAM FILESYEUDORAYattachYEBARA}

Applications\_0309041\_-ted\_invent\_05\_04\_04\_Musaka.xls;

福永様

金曜日6:00AMの電話会議、笹部は対応可能です。他の方が対応可能でしたら、六平さんに

OK回答していただきたくお願いします。

三島さんにも出席いただいたほうが良いと思います。 私は今日は10時半ごろから羽田に行かなければならないので、恐縮ですが、お願い致しま す。

From: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>

To: "Fukunaga. Yukio (E-mail)" <fukunaga.yukio@ebara.com>,"Sasabe Kenichi (E-mail)" <sasabe.kenichi@ebara.com>,"Nambu, Isao" <inambu@ebaratech.com>

Cc: "Kimura, Norio" <nkimura@ebaratech.com>

Subject: FW: Ebara Patent Applications and subject of telecon 5/06/04 at 5:00 pm

Date: Tue, 4 May 2004 23:43:53 -0700

Importance: high

X-Mailer. Internet Mail Service (5.5.2653.19)

Folks.

Please find attached IP list on which ted san added summary of our discussion today in the last column.

Understanding each company's position on those patent applications at this time, we'd like to propose a telephone conference as follows,

Date & Time:

5/6(Thu) 5:00pm(EDT), 5/7(Fri) 6:00am(JST)

TBD (Will send you separate e-mail once

Call-In: notified by -ted .)

redacted Attorneys Attendees:

redaci redaci ted -ted-san, redacted Attorneys EC/ETI - Sasabe-san, Fukunaga-san, Nambu-san, Musaka

(Please add appropriate person(s) if necessary.)

I understand it's very early in the moming. However, that's only time reducted attorneys are available. Also, originally, reducted san was proposing sometime in next week, but all the sudden, she is in a hurry to conclude the discussion, and wants to hold the meeting in this week.

I really appreciate for your generous understanding and strong support on this matter.

Best Regards, K.Musaka

Original Message

redacted

redacted

### Y, 08:55 04/05/06 +0900, Fwd: FW: Ebara Patent Applications and subject of telecon 5/06/

To: General Manager Y. Fukunaga

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: FW: Ebara Patent Applications and subject of telecon 5/06/04 at 5:00 pm

Cc:

Bcc:

Attached: C:\(\text{PROGRAM FILES\(\text{FUDORA\(\text{\*}}\)attach\(\text{\*}\)EBARA

Applications\_030904\_\_[redacted: the US company]\_invent\_05\_04\_04\_Musaka.xls;

#### Mr. Fukunaga,

I can attend the telephone conference to be held from 6:00 am on Friday. If the other members can attend the conference, please replay to Mr. Musaka that we are ready. I think Mr. Mishima should also attend the conference.

Today I will leave for Haneda around 10:30, so I cannot handle the matter. Your arrangement would be greatly helpful.

[Below to the end is originally English text.]

### Yukio Fukunaga, 14:14 04/05/07 +0900, Re: S1 Project 特許の件

To: Yukio Fukunaga \( \frac{fukunaga.yukio@ebara.com \rangle}{} From: 笹部憲一 〈sasabe.kenichi@ebara.com〉 Subject: Re: S1 Project 特許の件

Cc:

Bcc: Attached:

福永様

共願6件は・#2、#22、#26、#28、#29、#30のことですね。 #26は三島さんのコメントはありましたが、共願として良いですか? 他の点については、これで良いと思います。

At 13:55 04/05/07 +0900, you wrote: 笹部様

下記のメール案を作成してみましたので、内容をご検討頂きたくお願いします。 (本日中の回答希望にしましょうか?) (あるいは六平さんにECにて検討中ということにして、時間をもらいましょうか?)

#### 福永(由)

### 辻村 役員殿

標記の件、現状報告と懸案事項のご相談を申し上げます。

【現状】

2月のWorkshop後、笹部さんセンターで特許の帰属について、下記のように「ted と調整中 です。

検討案件: 30件

・荏原単願: 19件

IBM·荏原共願: 6件

5件(内4件はJDP契約前出願、内3件PCT出願済み)

【懸案事項】

荏原としては極力単願での調整を進めてきましたが、上記調整中の5件は、荏原が単願 するものの、折り合いが付いておりません。

(今朝方の先方Attomyを含めたテレコンでも、平行線を辿ったままです)

内容が所謂擦りめっきの方法と装置であるため、当方は2001年頃実施していた「擦り めっき」の 資料(日付はなし)を提示して理解を求めましたが、redac の主張はJDPに入る前に荏原の

バック グランド技術を開示すべきだったのに、今になって開示するのは手続きとしておかしい、と シフンにまた。 いう具合です。 また「redac として、S1プロジェクトの成果としての期待(メンツ?)もあるようにも感じます。

【対処案】

上記調整中5件に関し、両社ギリギリの線で受容できそうな下記の案を提案したいと考 えます。

・日本出願およびPCT出願(USは除く)は、在原単独のまま(ただし一部クレーム補正

必要)

- ・US出願は共願 (ただしworkshop時に提案受けた\_tedの発明を新たに組み込むこと)
- ●本対処方法に関し、アドバイス頂ければ幸いです。 対処案でOKであれば、笹部さんの方で作業を進めて頂く予定です。

福永(由)

### Yukio Fukunaga, 14:14 04/05/07 +0900, Re: Regarding S1 project patent

To: Yukio Fukunaga <fukunaga.yukio@ebara.com>

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Re: Regarding S1 project patent

Cc:

Bcc:

Attached:

Mr. Fukunaga,

You mean the six joint applications are #2, #22, #26, #28, #29, and #30.

Mr. Mishima has commented on #26. Is it OK that #26 will be a joint application?

For the rest, I think the draft is OK.

At 13:55 04/05/07 +0900, you wrote:

Mr. Sasabe,

I've prepared a draft of an e-mail as shown below. Please check and review its details. (Should we request a response to the e-mail within today?)

(Or, should I make a report to Mr. Musaka that the matter is under consideration atEC to gain some time?)

### Y. Fukunaga

\*

Member of the Board, Mr. Tsujimura,

Regarding to the subject matter, I will report the current situation and present related concerns.

#### [Current situation]

After the workshop in February, we are in coordination with [redacted: the US company] for application filing, led by Mr. Sasabe, as described below.

- Under discussion: 30 applications
- Sole application by Ebara: 19 applications
- Joint application by [redacted: the US company] and Ebara: 6 applications
- Under coordination: 5 applications (four of which have been filed before conclusion of the JDP contract and three of which have been also filed as PCT applications.)

#### [Related concern]

Ebara has made best efforts so that the applications can be filed as sole applications; however, no agreement is reached for the five applications under coordination that Ebara insists should be filed as sole applications.

(The telephone conference, held this morning with the inclusion of the other side's attorney ended up without any progress.)

Those applications are related to the method and apparatus for "rubbing & plating," so we presented documents (without date) on studies about "rubbing & plating" implemented around 2001. With these materials, we asked for their understanding. [redacted: the US company], however, maintained as follows: Ebara should have disclosed the background technique before implementation of the JDP. Disclosing the technique at this late date is an unjustifiable action.

[redacted: the US company] has probably placed expectations on (and had pride about) potential results of the S1 project.

### [Proposed action]

For the five applications under coordination, we would like to make a proposal below that may be at least accepted by both the companies:

- · Sole application by Ebara for Japanese and PCT applications (excluding U.S. applications) (Correction of some claims is required.)
- · Joint application for U.S. applications (Incorporation of the invention by [redacted: the US company] proposed at the workshop is required.)

Your advice on this proposal would be appreciated.

If the proposal described above is OK, I will ask Mr. Sasabe to go forward

Y. Fukunaga

redacted

# 11:17 04/05/08 +0900, Re: Disclosures Number 2 and 22 first filed in Japan

To: redacted

< redacted .com>

From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: Re: Disclosures Number 2 and 22 first filed in Japan

Cc: Mr. Y.Fukunaga, Mr. Mishima, Mr. Musaka, Mr. Akai

Bcc:

Attached:

Dear redac -sar

Thank you for your e-mail.

I think the Ebara inventors made their invention in Japan. But I will confirm them on Monday.

I will discuss with Mishima-san and Fukunaga-san about the facts and the reasons of the error, and I will send you our story.

Thank you very much for your help.

Best regards, Kenichi Sasabe

At 17:39 04/05/07 -0400, you wrote:

redacted

redacted

PREPARED BY redac ATTORNEY / PRIVILEDGED AND CONFIDENTIAL

# 三島部長殿, 13:58 04/05/29 +0900, 米港特許庁にExport Licenseを申請するに当たっての

To: 三島部長殿

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: 米港特許庁にExport Licenseを申請するに当たっての資料の件

Cc:

Bcc:

Attached:

S1プロジェクトに関する出願に関連する資料のコピーをお出しください。

Export Licenseを申請するには、直接関与した人の請願書と証拠資料の提出が必要で

す。

3)

, 第在ペンディングになっている物も含めて、#2, 4, 10, 11, 12, 13, 14, 16, 20, 22, 24, 26, 28, 29合計14件に関する資料(発明に関する資料、発明者への指示、出願依頼、弁理士との相談、知財部との相談、木村さん、六平さん、IBMとのコレポン、ノート、email など)のコピーをご提出ください。 福永さん、知財部、牧野さん、国沢さんには27日に依頼しました。

笹部憲一〈sasabe.kenichi@ebara.com〉の印刷

General Manager Mishima 13:58 04/05/29+0900, Regarding documents for Export License application to USPTO

To: General Manager Mishima

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Regarding documents for Export License application to USPTO

Cc:

Bcc:

Attached:

Submit copies of documents on the application fling linked to the S1 project.

Upon export license application, application forms filled by those directly involved and evidence documents must be submitted.

Submit copies of documents on the 14 applications in total, including the pending ones: #2, 4, 10, 11, 12, 13, 14, 16, 20, 22, 24, 26, 28, and 29 (documents related to the invention, instructions to the inventors, request of application filing, consultation with the patent agent and Intellectual Property Dept., correspondence between Mr. Kimura and Musaka and [redacted: the US company], related notebooks and e-mails, etc.).

I already asked Mr. Fukunaga, Intellectual Property Dept., Mr. Makino, and Mr. Kunisawa on May 27 to submit the documents.

### 倉科殿,並木殿,中田課長殿,三島部長殿,神田課長殿,長井殿,山,21:59 04/06/08 +0900, reducted

To: 倉科殿, 並木殿, 中田課長殿, 三島部長殿, 神田課長殿, 長井殿, 山本殿716, 森沢殿, 井 出殿753, 鈴木秀直殿, 君塚リーダー殿, 国澤課長殿

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: redac米国発明の外国出願に関する協力依頼の件 Cc: 牧野殿, 赤井部長殿, 坂口担当部長殿

Attached: D:¥My Dcuments¥-ted PaP project¥調査協力依頼040609.doc; D:¥My Dcuments¥-ted PaP project¥Pedersen依頼¥Retroactive Foreign Filing License Statement2.xls; D:¥My Dcuments¥-ted PaP project¥発明者質問状.doc;

redacted と実施しているS1(PaP)プロジェクトにおいて、EBRが日本で単独出願していた出願に対し、Fredac から共願にするよう要求があり、調整しておりますが、現在13件が共願の検討対象となっています。

redacted と共願にする場合には、fedac の発明者を追加することになり、米国で為した発明は米国に 最初に出願しなければならない規定に違反します。このため、米国特許庁及び商務省に Retroactive Foreign Filing Licenseを請願する必要があります。 これに関しまして、添付依頼書に基づき、質問書へのご回答を戴きたくお願い致します。

なお、6月21日に-tedと打合せが予定されており、それまでに対応する必要がありますので、 恐縮ですが6月11日までにご回答いただきたく、ご協力お願い致します。

		作成日 DATE	2004. 6. 9.	Р. 1
宛 先 FOR	下記各位	DOC.No.	708-A460901	·
			全	枚
題目	米国発明の海外出願に		TOTAL	SHEETS
関する協力依頼の件	作成目的 PURPOSE	調査協力依頼		
プロジェクト名 PROJECT	S1	用 途 SERVICE	Export License	
JOB No.		在原製番 EBARA SER.No	,	
ITEM No.		機名/装置名 MODEL/EQUIF	•.	台数 SET

redac -ted と実施している S1 (PaP) プロジェクトにおいて、EBR が日本で単独出願していた出願に対し、redac か ら共願にするよう要求があり、調整しておりますが、現在 13 件が共願の検討対象となっています。

redac と共願にする場合には、redac の発明者を追加することになり、米国で為した発明は米国に最初に出願しなければならない規定に違反します。このため、米国特許庁及び商務省に Retroactive Foreign Filing License を請願する必要があります。

既に共願にすることが決まっている牧野さん、国沢さんには既にお話を伺いましたが、他の方にも添付資料にご記入の上特許部宛て返送お願いします。(国澤殿:表の#28 分割アノードについてご回答ください。)請願が認められるためには、違反に気づいた後、速やかに手続きを行うことが必要ですので、恐縮ですが、至急 6月 11 日までにご回答お願いします。

該当する出願は添付の EBR/redac共願検討出願の表に記載の物です。

発明内容の簡単なメモをつけてありますが、出願原稿をご覧になりたい方は特許部笹部(8550)又は坂口 (9020)までご連絡ください。

質問用紙は質問書Aと質問書Bに分かれています。

質問書 A は発明者の S1(PaP)プロジェクトとの関連に関する質問です。発明者毎に1回お答えください。 質問書 B は各出願に関する質問です。出願1件ごとにご回答ください。複数の出願の発明者になっている方は、恐縮ですが質問書 B をコピーしてご使用ください。

e-mail でもお送りしておきますので、必要な場合はプリントアウトして戴いても結構です。

依頼先

716 倉科殿、 716 並木殿、 716 中田殿、716 三島殿、753 神田殿、753 長井殿、716 山本殿、756 森澤殿、

753 井出殿、716 鈴木殿、EU 君塚殿

cc 760 国澤殿、760 牧野殿

•			
A・実施または手配 ACTION NECESSARY	発 行 ISSUED BY	承 認 APPROVED BY C	係 員 HECKED BY
B・関連部署 CONTENTS ESSENTIAL C・参考まで NFORMATION ONLY	精密・特許部		<del>位</del> 部

Kurashina, Namiki, Manager Nakada, General Manager Mishima, Manager Kanda, Nagai, Yama, 21:59 06/06/08 +0900, [redacted: the US company]

To: Kurashina, Namiki, Manager Nakada, General Manager Mishima, Manager Kanda, Nagai, Yamamoto716, Morisawa, Ide753, Hidenao Suzuki, General Manager Kimizuka, Manager Kunisawa

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Regarding request of your cooperation about foreign filing of inventions with

[redacted: the US company] in USA

Cc: Makino, General Manager Akai, Manager Sakaguchi

Attached: D:\text{My Documents}\text{[redacted: the US company] Pap project\text{Call for cooperation for investigation 040609.doc; D\text{My Documents}\text{[redacted: the US company] Pap project\text{\text{Pedersen Request\text{\text{Retroactive Foreign Filing License Statement2.xls; D\text{\text{My}}}} Documents\text{\text{[redacted: the US company] Pap project\text{\text{Questionnaire to inventors.doc;}}}

Regarding the S1 (PaP) project operated with [redacted: the US company], [redacted: the US company] has requested us to change the sole applications filed by EBR in Japan to the joint applications. We have worked on this issue and identified 13 applications are subject to discussion for joint application.

If they are filed as the joint applications with [redacted: the US company], inventors of [redacted: the US company] will be added. This violates the regulation providing any invention achieved in the U.S.A. shall be filed in the U.S.A. first. To solve this problem, we need to get up a petition for Retroactive Foreign Filing License to Department of Commerce and the United States Patent and Trademark Office

I attached a document regarding this issue. Id like to request all of you to respond the questionnaire.

Please note that a meeting will be held on 21 June with [redacted: the US company]. We need to prepare till that date. I realize all of you are very busy; though, please return your answer by 11 June. I call for your cooperation.

œ.		Support Document AE					
		作成日 DATE	2004.	6.	9.		Р. 1
宛 先 FOR	All concerned	DOC.No.	708-A4	16090	)1		
Request for your cooperation regarding foreign filing of inventions in the U.S.A.	•					全 TOTAL	枚 SHEETS
	作成目的 PURPOSE	Red	quest	t for i	nvestiga	ation	
プロジェクト名 PROJECT	\$1	用 途 SERVICE	Exp	ort L	icen	se	
JOB No.		在原製番 EBARA SER.Ne	0				
ITEM No.		機名/装置名 MODEL/EQUI	P.				台数 SET

Regarding the S1 (PaP) project operated with [redacted: the US company], [redacted: the US company] has requested us to change the sole applications filed by EBR in Japan to the joint applications. We have worked on this issue and identified 13 applications are subject to discussion for joint application.

If they are filed as the joint applications with [redacted: the US company], inventors of [redacted: the US company] will be added. This violates the regulation providing any invention achieved in the U.S.A. shall be filed in the U.S.A. first. To solve this problem, we need to get up a petition for Retroactive Foreign Filing License to Department of Commerce and the United States Patent and Trademark Office.

Though I already requested Mr. Makino and Mr. Kunisawa, whose inventions have already determined to be joint applications, I'd like to request other members to answer the questionnaire, an attached file. When you complete, please return to Patent Dept. (To Mr. Kunisawa: Please answer Item #28 in the list about divided anode).

To make our petitions granted, quick action must be taken as soon as we realized violation. I understand all If you are very busy; though, please return your answer immediately by 11 June. The applications in question are listed on an atached file regarding the filing of EBR/[redacted: the US company] joint applications.

I gave brief comments about the inventions; though, please contact Sasabe (8550) or Sakaguchi (9020) in Patent Dept. if you wish to refer drafts of the applications.

The questionnaire is divided into Form A and B.

Form A lists questions about relations between the inventor and the S1 (PaP) project. All inventors are requested to answer.

Form B lists questions about each application. All inventors are requested to answerper application. If multiple inventors achieve the invention, please make a copy of Form B and answer. I send the same document via e-mail as well. You can print out if necessary.

<b>中 取 指示</b>	Person who are requested to answer the questionnaire 716 Kurashina, 716 Namiki, 716 Nakada, 716 Mishima, 753 Kanda, 753 Nagai, 716, Yamar Morisawa, 753 Ide, 716 Suzuki, Kimizuka of EU	moto, 756
	cc: 760 Kunisawa, 760 Makino	

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A・実施または手配 ACTION NECESSARY	発 行 ISSUED BY	承 認 APPROVED BY	係 貝 CHECKED BY
B·関連部署 ———— CONTENTS ESSENTIAL	Patent Dept.		Sasabe
	Precision Machinery Group		Sasabe



# 赤井部長殿, 篠塚担当部長殿, 16:11 04/06/11 +0900, Fwd: Meeting with Mr. redacted

To: 赤井部長殿, 篠塚担当部長殿

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: Fwd: Meeting with Mr. redacted

Cc: 坂口担当部長殿

Bcc:

Attached:

#### 赤井様、篠塚様

いろいろとお手数をかけています「redactory of the control of the c

From: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>
To: "'M Tsujimura'" <tsujimura.manabu@ebara.com>, ogata.akira@ebara.com, "Kobayashi, Fumio (E-mail)" <kobayashi.fumio@ebara.com>,fukunaga.akira@ebara.com, fukunaga.yukio@ebara.com,tokushige.katsuhiko@ebara.com, hodai.masao@ebara.com,mishima.koji@ebara.com, asami.masao@ebara.com, "Sasabe Kenichi (E-mail)" <sasabe.kenichi@ebara.com>,Kimura Norio <kimura.norio@ebara.com>,"Nambu, Isao" <inambu@ebaratech.com>,"O'Connell, Dan" <doconnell@ebaratech.com>
Co: horiuchi.takao@ebara.com, yago.natsunosuke@ebara.com
Subject: Meeting with Mr. redacted Date: Thu, 10 Jun 2004 23:04:21 -0700 X-Mailer. Internet Mail Service (5.5.2653.19)

Great thanks to everybody participated in the quite intensive discussion in last week while my stay in Japan. I believe our meeting today with Mr. reducted was truly successful and satisfactory.

Dan, Nambu-san, Kimura-san and myself visited Mr redacted today for the discussion on IP issue in JDA. (redacted san also participated by phone.) The discussion was initiated by Dan explaining historical background of this matter, "Ebara had been working on planer plating technology prior to the engagement with redacted for the JDA, and filed patents before the contract, but after initial technical information exchange with redacted on this matter. Ebara should have informed redacted the background IPs in time to avoid any confusion and conflict on the IP ownership. After internal discussion at Ebara, Ebara agreed to modify those patent applications as co-invention with redacted recognizing its impact on the program and redacted susiness."

Mr. redacted stated "redac could not understand why Ebara did not submit the

background IPs at the 1st workshop in Sept'03 accordingly to the JDA contract". I replied "Ebara understood the contract, and actually submitted the IP list at the workshop. However, the list was too brief to discuss the details, and re-submitted the list with abstracts in the workshop in Feb'04, which caused some delay in our initial discussion on this matter with redacted. Since then, we've been working with redacted technical coordinator for identification of IP ownership, and redacted attorneys for modification of total 8 Ebara's Japanese patent applications into co-invention with redacted applying for export license for corresponding US patent applications. ried san also backed us up stating "Those were the same understanding as hers".

I also explained "In order to avoid any confusion in patent application process in the future, Ebara propose to submit whole translation of IP disclosure to <code>redac</code> before filing patent application for <code>redac</code> s review and determining the co-ownership. "redac-san stated "1-page summary or abstract of US patent application should be sufficient." Dan stated "This process change requires <code>redac</code> s strong support in timely corresponding <code>redac</code>'s decision to Ebara since Ebara rely on <code>redac</code>'s reply for filing the patent application."

Finally, I apologized the confusion and promised the compliance to the contract,

and Mr. redacted replied "I'm fine, now."

I also talked with red san after the meeting by phone, and she said "The meeting was quite satisfactory."

I understand it was difficult time for everybody to re-evaluate the contract and determine the countermeasure. Now, I believe, we have better understanding of the contract and how it impacts Ebara's business. We have no choice than succeeding the JDA with  $\frac{redac}{-ted}$ .

Once again, thank you very much for your understanding and continuous support on this matter.

Best Regards, K.Musaka General Manager Akai, Manager Shinozuka, 16:11 04/06/11 +0900, Fwd: Meeting with Mr. [redacted: personal name]

To: General Manager Akai, Manager Shinozuka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: Meeting with Mr. [redacted: personal name]

Cc: Manager Sakaguchi

Dear Mr. Akai, Mr. Shinozauka.

Regarding the issue related to [redacted: the US company] that we have worked on, I have a news that it will be solved as shown below.

In the meeting held on June 10 in [redacted: the US company], Mr. [redacted: personal name], Project Manager of [redacted: the US company], Mr. Kimura, Project Manager of Ebara, and Mr. Dan O'connell and Mr. Nanbu of ETI discussed the patent filing issue and finally managed to solve the point that might cause breach of contract.

In future, inventions clearly irrelevant to [redacted: the US company] can be sole applications of Ebara, however, if they are possibly relevant to [redacted: the US company], basically, they will be joint applications. English drafts will be shown to [redacted: the US company] before filing. Mr. Tsujimura has already agreed with this direction. This procedure may cause other problems, such as, that the number of filing in the U.S.A will be increased (combining a batch of applications filed in Japan to one US application will not be allowed); that days taken for preparing for filing patent application will be increased; or that drafts may be changed or corrected by Japanese patent attorney, [redacted: the US company], patent attorneys in the U.S.A; however, regarding the issue that [redacted: the US company] is involved is exceptional.

On the way to solve the problem, we may cause more inconveniences to Intellectual Property Dept.; though, I appreciate your understanding and cooperation.

[Below to the end is originally English text.]

61'7 70

海川は毎日日日

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同様対水電ンいは外にない、一国内質と

Claim 1 of # 4 9 claim 8 x 181 # 18

Claim 2 of 2 Mil (rotation)

18th EBR oniginal.

4 /h 73 D1 redacted & 7013

在外生作,中国3

D 毎年(クレームをい)は明7日にアス rediscred ずず、とななすに思っている。

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plating 12 1到12 ON/OFF 华当7布屯12 FBR Original

3 产BR ovietied 3.4.7.9.10.11.12 14.1011.12 14.1011.12

claim 6 EBR 2/7" reducted of Drun force Higher + Claim 3, 4.5 it discussion (21, 21). claim / TBR

Claim 13 叶拉对里即将通常长BRidge 8.9.10.11.12 件 79 推屬 14 11 13 0 12 B dein 1.2 中共和日本を得かが、成立難い、

#ひのClain一下は、大個大が回れてせているが 本文成公安的方"中",并中,Chaim 14同7年 388 74年7世3873 dain 「静山たれ状態に面見」、野が除する

Claim 12 BBK ONginal 路向找棒 #50 to 28R idea. 同时 129 絕

車板(字おかて上下は 5BR original

护在隐围技和各机、各的一色的的知 Claim 1 >- 10 2 21/1 18.

B自1四13 個有的想花構以 reducted 要求

押在してめってはなれ、沿代なし? EBR original Clar. 11

19へきといまとは直径内はらい

claim 2~

8, P.10, 11 air bag 38 Brongind FUT RY EBR Original ginher EBR oniginal 孫中公和

所当科·森成住 BBRONY、山水 EBR onjuit 看核杜棒 04.4.19

#4

Specification

Amplitude of plating voltage

Pressing and Detaching

[redacted: the US company] disclosure

include electro-etching voltage As the inventions of [redacted: the US company] have not been filed, ask [redacted: the US company] if they want to file their inventions. Ebara don't want to make the whole application a joint application.,

1. Facts should be made clear for each claim.

This invention is different from the technology that [redacted: the US company] presented. Some points of their presentation gave us a chance to consider. Plating technology with the current repeating ON and OFF and with a pad repeating touching and detaching the substrate is Ebara's original technology. EBR original applications 3, 4, 7, 9, 10, 11, 12 will be divided and made Ebara sole application. Others will be joint application.

Or, method claims will be jointed, and apparatus claims will be Ebara sole.

Y, Fukunaga Mishima

Sakaguchi

Sasabe

Make all applications joint applications. Give us some

rights for their patents useful for Ebara in return.

Patent Dept. ightharpoonup List up patents of [redacted: the US company] useful for Ebara.

Summarize 1, 2 and 3 above, and will send to Mr. Musaka. Inventors' names of [redacted: the US company] General Manager Mishima → Patent Dept.

Claim 1: Ebara will claim that the invention is Ebara original based on a small Mr. Mishima will search Ebara's applications regarding a pad for plating filed diameter polishing pad presented to [redacted: company name] in 2001.7 so far and inform Patent Dept.

Supplying solution between two layers of a pad is Ebara's idea.

#14

The phrase "to water tightly seal the edge part" should be deleted. domestic priority application

Claim 1 of this application has the same invention with claim 8 of #4.

Claim 2 is joint filing. (rotation)

Other claims are Ebara original.

#14(continue)

Claim 3, 4, 5 were not discussed.

Claim 6 is Ebara idea. [redacted: the US company] presented down force was always +.

Claim 7: EBR

Claim 8, 9, 10, 11 and 12 are dependent claims of claim 7. Claim 13: applying current after relative motion is Ebara idea

Claim 1 and 2 may be joint applications, but may be difficult to be patented.

Claim 14 is a dependent claim of claim 13.

#24

Claim 1: the phrase carrying current "in a state that the conductor layer is static to the porous product", " ----" part should be deleted.

In this claim 1, plating solution compositions were added to Claim 1 of #4 application. Plating solution is publicly known. We will claim this claim is Ebara idea like claim 1 of application #4.

Claim 12 : Ebara original. A pressing and separating mechanism.

13, 14 Dependent claims of claim 12.

14 : Vibration is Ebara idea.

Vertical movement of the substrate holding part is Ebara original idea.

#10

Claim 1: Seal should be deleted

A pressing and separating mechanism is Ebara original idea.

Claim 13: Temperature adjust mechanism is on the tool requirement list of

[redacted: the US company] → joint application

Claim 16: pressing and plating is publicly known. No patentability?

17 : Ebara original

18 : Ebara original

19-24 : not related to plating

Claim 2

4 : torque sensor for detecting running torque is Ebara original idea.

5, 6 : air bag is Ebara original idea.

7 : multilayer structure of the porous product may be publicly known.

8, 9, 10 and 11: air bag is Ebara original idea

12 : Dependent claim of claim 11.

14 : pressurize the backside of the substrate with fluid is Ebara original idea.

15 : Ebara original. Vibrating mechanism is Ebara original idea.

# Mr. Musaka, Mr. Y.Fukunaga, Mr. Mishima, 00:48 04/05/20 +0900, Fwd: S1出願

To: Mr. Musaka, Mr. Y.Fukunaga, Mr. Mishima From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: Fwd: S1出願

Cc: Bcc:

Attached: D:¥My Dcuments¥<sup>redac</sup> PaP project¥各出願の要点.xls;

#### 各位

電話打合せに基づき、クレームにパッド(またはそれに類する物)の記述のある出願を確認しました。 添付の表のようになります。

三島さんとは相談しましたが、福永さんとは相談できていません。 電話会議で下記#13, 16を話すことにするか、明朝福永さんと相談します。 この情報は参考としておいてください。

福永さん、三島さんに先程お送りした物を若干修正しています。

含浸材(高抵抗体)にパッドをつけたものを対象と考えます。("アノードの表面にパッド"まで含めると、含浸めっきや、TSBの特許まで入ってしまいます。)

#11:六平さんとの議論に出ましたが、パッドの記述はありません。日本出願はEBR単願、外国出願(PCT)は#4、10、12とまとめて1件になっていますので共願としたいと思います。

#13:フェースダウンのめっきです。含浸材の上に基板接触体が有り、基板と接触します。この出願はクレームの英訳を作っていません。基板接触体は従属項で出てくるので、Excel sheet の英訳には基板接触体が書かれていませんでした。 "a substrate contact element disposed on the resistive porous element "をexcel sheetの記述に追加する必要があります。フェースダウンなので、S1とは無関係と出来ますでしょうか。共願も止むなしと思います。

#15:金属イオンを透過させない隔膜を基板表面に接触させ、金属イオンの供給を制限する物です。クレームでは含浸材又は高抵抗体は記述されていませんので、含浸材+パッドという構成とは異なり、無関係と考えます。図では全て高抵抗体の表面に隔膜が配置されています。パッドで擦って添加剤を除去するのとは考えが異なります。これはクレームの英訳を作っていません。

#16:分割含浸材+多孔質体。含浸材の分割を主な発明とするものですが、多孔質体の均一な接触を目的としており、IBMが興味があるなら共願でしょうか。これはクレームの英訳を作っていません。

#21:アノードと被めっき面の間にイオン交換膜を配置する物です。クレームには含浸材や高抵抗体はなく、イオン交換体だけがあると解釈できますので、無関係としたいと思います。図3(メインの実施例)では含浸剤の変わりにイオン交換体が置かれています。他の実施例では、含浸材の上にイオン交換膜が配置されています。クレームでは含浸材の上にイオン交換膜という構成ではありませんので、無関係とします。

### 検討対象の

#4、#10、#12は多孔質接触体と含浸材、又は多層の多孔質材をクレームしています。(これはPCT出願していますので、#11も含めて、対象国全てに関するExport Licenseを取ることになります。多分通常のerrorの理由説明の他に、対象国名を並べて書くだけで済むと思います。)

# Mr. Musaka, Mr. Y.Fukunaga, Mr. Mishima, 00:48 04/05/20 +0900, Fwd: S1出願

#14、#24はパッドのクレームはありませんが、接触なじませの出願です。

#26, 28, 29, 30はパッドのクレームはありません。

クレームの英訳を作った物は #4, 10, 11, 12, 14, 22, 24, 26, 28, 29だと思います。上記13, 15, 16, 21は英訳がありません。

ここに書いていない物も全てクレームをチェックしましたが、他にはパッドの記述はありません。

Mr. Musaka, Mr. Fukunaga, Mr. Mishima, 00:48 04/05/20 +0900, Fwd: S1 application

To: Mr. Musaka, Mr. Y.Fukunaga, Mr. Mishima

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Fwd: S1 application

Cc: Bcc:

Attached: D:\text{My Documents}{\text{[redacted: the US company]}PaP project}{\text{points of each}}

application.xls;

To all concerned,

Based on the telephone conference, I have identified patents that contain descriptions of a pad (or a means equivalent to it) in their claims.

They are as listed in the attachment.

I have discussed the matter with Mr. Mishima, but not with Mr. Fukunaga yet.

I will either discuss #13 and 16 below in the telephone conference or talk with Mr. Fukunaga tomorrow morning.

Regard this information is only for your reference.

I have slightly made corrections on what I sent to Mr. Fukunaga and Mr. Mishima earlier.

We regard impregnants (highly resistive element) with a pad fall into the category. (If we extend to cover "a pad on an anode surface," impregnation plating and [redacted: a Japanese company]) patents are also going to be included.)

#11: As mentioned during the discussion with Mr. Musaka, there is no pad description. For the Japanese patent application, we would like to file it as Ebaras solo application. But for the international application (PCT), as it is a bundle of #4, 10, and 12, we would like to file it as a joint application.

#13: It is a facedown-type plating. On the impregnant, a substrate contact element exists and this contacts with the substrate. We have not translated the claims into English. The substrate contact element is described in the dependent claims; therefore, it was not written in the translation in the Excel form. A sentence a substrate contact element disposed on the resistive porous element needs to be added to the description in the Excel form. Since this is the facedown-type, I wonder if it can be deemed to have no relation with S1. I think its joint application is unavoidable.

#15: This application restricts metal ion supply by contacting abarrier membrane that impermeates metal ions with a substrate surface. The claims do not describe neither the impregnant nor the highly resistive element. Therefore, we assume it is different from a construction of an impregnant + a pad, thus, has no relation. In the drawing, the barrier membranes are arranged on all surfaces of the highly resistive element. Its approach is different from additive removal by scrubbing with a pad. We have not translated the claims into English.

#16: Segmented impregnant + porous material. Although this application holds segmentation of the impregnant as the primary invention, the segmentation is for uniform contact of the porous material. If [redacted: the US company] is interested in this, this may be filed as the joint application.

We have not translated the claims into English.

#21: This application has an ion exchange membrane between an anode and a plating target. The claims do not describe the impregnant or the highly resistive element, and the method is interpreted as having the ion exchanger only; thus, I want to conclude this has no relation. In Fig. 3 (main preferred embodiment), an ion exchanger is mounted instead of an impregnant. In other preferred embodiments, an ion exchange membrane is placed on an impregnant. The claims do not describe a structure having an ion exchange membrane on an impregnant; we shall conclude this has no relation.

The applications under review, #4, #10 and #12, claim a porous material contactelement and an impregnant or a multi-layered porous material. (Since this is filed for PCT, we will have to obtain the Export License, including #11, for all target countries. Most likely, just listing the names of the target countries in addition to ordinal explanations for error, I tlink.)

Although #14 and #24 do not claim on a pad, they are applications related to better contact.

The applications #26, 28, 29, and 30 do not claim on a pad.

Claims have been translated into English for #4, 10, 11, 12, 14, 22, 24, 26, 28, and 29, think. The applications 13, 15, 16, and 21 above do not have English translations.

I have checked all claims even not written here, and those other than mentioned here do not describe a pad.

## Mr. Musaka, 19:09 04/05/18 +0900, Fwd: Re: #26出願(2004-022178)

To: Mr. Musaka

From: 笹部憲一〈sasabe.kenichi@ebara.com〉 Subject: Fwd: Re: #26出願(2004-022178)

Cc: Mr. Y.Fukunaga, Mr. Mishima

Bcc:

Attached: D:¥My Dcuments¥ redaction PaP project¥EBR application English translation¥特願 2004-022178¥2004-022178specification.doc; D:¥My Dcuments¥ redaction PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p1.lzh; D:¥My Dcuments¥ redaction PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p2.lzh; D:¥My Dcuments¥ redacted PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p3.lzh; D:¥My Dcuments¥ redacted PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p4.lzh; D:¥My Dcuments¥ redacted PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p5.lzh; D:¥My Dcuments¥ redacted PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p6.lzh; D:¥My Dcuments¥ redacted PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p7.lzh; D:¥My Dcuments¥ redacted PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p8.lzh; D:¥My Dcuments¥ redacted PaP project¥EBR application English translation¥特願2004-022178¥Drawing圧縮¥Draw p8.lzh; D:¥My Dcuments¥ redaction Papplication English translation¥持願2004-022178¥Drawing圧縮¥Draw p9.lzh;

六平様

前回の電話会議で三島さんから説明した#26の明細書の英訳です。
クレームだけでは、redacの権利が含まれているかどうか分からないので、明細書の訳を作りました。
全個し、時間もあまりなかったので、明細書の放文ではなく、前半だけの英訳です。
後半は、知財部がつけた部分で、装置としてベベルエッチやリンス、無電解キャップめっきなどが書かれています。後半部分は、JDPとは関係のない内容で、クレームもされていませんので、翻訳は省略させていただきました。
図は圧縮してありますが、解凍できなければご連絡ください。(自動解凍ではありません)三島さんにコメントしてもらう予定でしたが、本日出張ですので、明日三島さんに依頼します。
六平さんの判断も必要と考えますと、福永さんがコメントされています。
前回の電話会議と、それ以降のredacとの打合せ状況を考えて、コメントいただければありがたく存じます。

X-Sender: yf08594@pop.ebara.cojp X-Mailer: QUALCOMM Windows Eudora Version 4.3.2-J Date: Tue, 18 May 2004 18:46:44 +0900 To: 笹部憲一 <sasabe.kenichi@ebara.com>,mishima.koji@ebara.com From: Yukio Fukunaga <fukunaga.yukio@ebara.com> Subject: Re: #26出願(2004—022178)

#### 笹部 様

翻訳有り難うございました。

六平さんにコメントを付けて、送って頂けますでしょうか。 (出来れば「何故荏原単願と判断しているか」のコメントもあった方がよいのですが、 本日三島さんが外回りのため、コメントできるとしても明日になります)

まずは六平さんに送って、目を通して頂くのがよいと考えます。 (redac にはまだ提出せずに、六平さんの判断も必要と考えます)

福永(由)

Mr. Musaka, 19:09 04/05/18 +0900, Fwd: Re: #26 application (2004022178)

To: Mr. Musaka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com> Subject: Fwd: Re: #26 application (2004-022178)

Cc: Mr. Y.Fukunaga, Mr. Mishima

Bcc:

Attached: D:YMyDocumentsY[redacted: the US company]PaP projectYEBR application English translation\Patent application 2004-022178\parabole 2004-022178\ D:\text{MyDocuments}{\text{[redacted: the US company]PaP project}}EBR application English translation\(\frac{1}{2}\) Patent application 2004-022178\(\frac{1}{2}\)Compressed Drawings\(\frac{1}{2}\)Draw p1.lzh; D:\footnote{MyDocuments}{redacted: the US company}PaP project\footnote{EBR application English translation\*Patent application 2004-022178\*Compressed Drawings\*Draw p2.lzh; D:\text{MyDocuments}\text{fredacted: the US company PaP project}\text{FBR application English} translation\*Patent application 2004-022178\*Compressed Drawings\*Draw p3.lzh; D:\text{MyDocuments}\text{fredacted: the US companyPaP project}\text{EBR application English} translation\text{\text{Patent application 2004-022178\text{\text{\text{Compressed Drawings\text{\text{\text{P}}} Draw p4.lzh;}} D:\text{MyDocuments} [redacted: the US company]PaP project\text{YEBR application English} translation\*Patent application 2004-022178\*Compressed Drawings\*Draw p5.lzh: D:\text{D:\text{YMyDocuments}}\text{[redacted: the US company]PaP project}\text{\text{EBR application English}} translation\*Patent application 2004-022178\*Compressed Drawings\*Draw p6.lzh; D:\text{MyDocuments}{\text{[redacted: the US company]PaP project}{\text{EBR application English}} translation\*Patent application 2004-022178\*Compressed Drawings\*Draw p7.lzh: D:\text{MyDocuments} [redacted: the US company]PaP project\text{YEBR application English} translation\*Patent application 2004-022178\*Compressed Drawings\*Draw p8.lzh; D:\text{D:YMyDocuments} [redacted: the US company]PaP project\text{YEBR application English} translation\(\frac{4}{2}\) Patent application 2004-022178\(\frac{4}{2}\)Compressed Drawings\(\frac{4}{2}\)Draw p9.lzh;

#### Dear Mr. Musaka,

This is the English translation of the #26 specification, which was explained by Mr. Mishima in the previous telephone conference.

Since our US partner will not be able to determine whether the rights of [redacted: the US company] are included or not only by checking the claims, we translated the specification. However, we did not have enough time, and we only translated the first half, not the entire specification.

The latter half is the section added by Intellectual Property Dept., describing bevel etching, rinsing, and electroless cap plating as the apparatus. The latter portion has no contents relating to JDP and no claims are made; therefore, we skipped translating the section. The drawings are compressed, and contact me if you cannot uncompress them. (They do not automatically decompress.)

I was planning to have comments from Mr. Mishima today. However, since he is out today, I will request that to Mr. Mishima tomorrow.

Mr. Fukunaga has commented me that he thinks Mr. Musaka's decision is also necessary. I appreciate your comments on this matter based on the discussions in the previous telephone conference and the perceptions acquired from the subsequent meetings.

X-Sender: yf08594@pop.ebara.co.jp

X-Mailer: QUALCOMM Windows Eudora Version 4.3.2-J

Date: Tue, 18 May 2004 18:46:44 +0900

To: Kenichi Sasabe <sasabe.kenichi@ebara.com>, mishima.koji@ebara.com

From: Yukio Fukunaga <fukunaga.yukio@ebara.com>

Subject: Re: #26 application (2004-022178)

Dear Mr. Sasabe,

Thank you for sending me the translation.

I appreciate if you send it to Mr. Musaka with the comment. (If possible, I think it is better to have his comment on "why he has determined it for Ebara's sole application." Since Mr. Mishima is out today, it will be tomorrow if he can comment on it.)

I think it is good to first send it to Mr. Musaka and have him read it. (I think we should not yet submit it to [redacted: the US company], and Mr. Musaka also needs to make decision about it.)

Y. Fukunaga

# Mr. Pedersen, 09:43 04/06/02 +0900, Export License

To: Mr. Pedersen

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: Export License

Cc: Bcc:

Attached:

Dear Mr. Pedersen

redacted

Please give us your advise.

Best regards, Kenichi Sasabe

#### Mr. Musaka, 15:37 04/06/08 +0900, Fwd: 英文翻訳の件

To: Mr. Musaka

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: Fwd: 英文翻訳の件

Cc: Mr. Y.Fukunaga, Mr. Shinozuka, Mr. Sakaguchi

Bcc:

Attached: C:\PROGRAM FILES\EUDORA\attach\attach\hat\hattach\hat\hattach\hat\hattach\hat\hattach\hat\hattach\h

#### 六平様

#14(2003-195406)の英訳をお送りします。 日本出願の優先日を確保するため、日本出願のそのままの英訳となっていますが、外国出願用に若干の構成の修正があります。 前回クレームのみ英訳してもらった事務所とは別の事務所で外国出願用に英訳していますので、クレームの部分も英訳しなおしています。

redacted でチェックする際、クレームの変更は問題ありませんが、明細書の内容を変更する場合には、それに関連する部分は、外国出願日が出願日となりますので、ご注意願います。 修正する場合には、出来るだけ元の明細書をそのまま残し、修正部分を追加するようにしてください。

宜しくお願いします。

To: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: 英文翻訳の件

X-Mailer. Lotus Notes Release 5.0.8 June 18, 2001

From: shinozuka.shuhei@ebara.com

Date: Mon, 7 Jun 2004 14:14:11 +0900

X-MIMETrack: S/MIME Sign by Notes Client on shuhei shinozuka/e/ebara\_jp(Release 5.0.8 |June18, 2001) at 2004/06/07 14:14:14, Senalize by Notes Client on shuhei shinozuka/e/ebara\_jp(Release 5.0.8 |June18, 2001) at 2004/06/07 14:14:14, Senialize complete at 2004/06/07 14:14:14, S/MIME Sign failed at 2004/06/07 14:14:14: 暗号キーが見つかりません。, Senialize by Router on ntnhan22m/e/ebara\_jp(Release 5.0.12 |February 13, 2003) at 2004/06/07 02:14:17 PM

#### 笹部部長殿

特願2003-195406の英文翻訳をお送り致します。

#### 篠塚 脩平

(株) 在原製作所 知的財産室 〒144-8510 東京都大田区羽田旭町11-1 TEL:03-3743-6872 FAX:03-3743-5745 E-mail:shinozuka.shuhei@ebara.com

笹部憲一〈sasabe.kenichi@ebara.com〉の印刷

Mr. Musaka, 15:37 04/06/08 +0900, Fwd. Regarding the English translation

To: Mr. Musaka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com> Subject: Fwd: Regarding the English translation Cc: Mr. Y.Fukunaga, Mr. Shinozuka, Mr. Sakaguchi

Bcc:

Attached: C:\(\frac{1}{2}\)PROGRAM FILES\(\frac{1}{2}\)EUDORA\(\frac{1}{2}\)attach\(\frac{1}{2}\)Patent Application No. 2003-195406

translation.doc;

Dear Mr. Musaka,

I send you the English translation of #14 (2003195406).

To assure the priority date of the Japanese patent application, it is the direct translation of the Japanese application. However, it was given some layout corrections for foreign filing. This English translation is done by an office different from one, which translated only claims into English last time. Therefore, the claims section is again translated into English.

When checking it at [redacted: the US company], although changes in the claims is no problem, be careful that changes in the contents of the specification will regard its filing date as the filing date of the foreign application for those parts relating to the changes. When making corrections, it is best to leave the specification as is and add the corrections.

Thank you for your cooperation.

To: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Regarding the English translation

X-Mailer: Lotus Notes Release 5.0.8 June 18, 2001

From: shinozuka.shuhei@ebara.com Date: Mon, 7 Jun 2004 14:14:11 +0900

X-MIMETrack: S/MIME Sign by Notes Client on shuhei shinozuka/e/ebara\_jp(Release 5.0.8

June18, 2001) at 2004/06/07 14:14:14, Serialize by Notes Client on shuhei

shinozuka/e/ebara\_jp(Release 5.0.8 |June18, 2001) at 2004/06/07 14:14:14,Serialize complete at 2004/06/07 14:14:14,S/MIME Sign failed at 2004/06/07 14:14:14: cryptography key not found,Serialize by Router on nthhan22m/e/ebara\_jp(Release 5.0.12 |February 13,

2003) at2004/06/07 02:14:17 PM

Dear General Manager Sasabe,

I send you the English translation of the patent application.

Shuhei Shinozuka
Intellectual Property Dept.
Ebara Corporation
11-1 Asahicho Haneda Ota-ku
7144-8510 Tokyo

TEL: 03-3743-6872 FAX: 03-3743-5745

E-mail: shinozuka.shuhei@ebara.com

From: "Musaka, Katsuyuki" (kmusaka@ebaratech.com)

To: "'kurashina.keiichi@ebara.com'" <kurashina.keiichi@ebara.com>,"'hodai.masao@ebara.com'" <hodai.masao@ebara.com>,"'mishima.koji@ebara.com'" <mishima.koji@ebara.com>,"Wada. Yutaka (E-mail)" <wada.yutaka@ebara.com>,"'fukunaga.yukio@ebara.com'"

\(\fukunaga.yukio@ebara.com\),"'nambu.isao@ebara.com'" \(\capanambu.isao@ebara.com\),"Fang, Rui" \(\capanambu.isao@ebara.com\),"Kumekawa, Masayuki"

<mkumekawa@ebaratech.com>,"'namiki.keisuke@ebara.com'"

<namiki.keisuke@ebara.com>,"'kimura.norio@ebara.com'

<kimura.norio@ebara.com>,"'asami.masao@ebara.com'" <asami.masao@ebara.com>,"'Manabu Tsujimura'" <tsujimura.manabu@ebara.com>

Cc: "Yamamoto, Satoru (E-mail)" \(\symma\) \

<nakada.tsutomu@ebara.com>,"'Owatari Akira (E-mail)'" <owatari.akira@ebara.com>,"'Nanjo,

Takahiro (E-mail)" <nanjo.takahiro@ebara.com>,"Maekawa, Fumio (E-mail)"

<maekawa.fumio@ebara.com>,"'makino.natsuki@ebara.com'

<makino.natsuki@ebara.com>,"'Morisawa. Shinya (E-mail)'"

(morisawa.shinya@ebara.com>,"'Kunisawa. Junji (E-mail)'"

\displaystyle="color: blue;" \displaysty

Katsuhiko (E-mail)'" <tokushige.katsuhiko@ebara.com>,"Sasabe Kenichi (E-mail)"

⟨sasabe.kenichi@ebara.com⟩, "jthoriuchi@aol.com" ⟨jthoriuchi@aol.com⟩, "Kozo Nakao'"

<nakao.kozo@ebara.com>,"'Fumio Kobayashi'" <kobayashi.fumio@ebara.com>,"'Akira Ogata'"

<ogata.akira@ebara.com>,"'Fukunaga Akira (E-mail)" <fukunaga.akira@ebara.com>,"'Natsunosuke

Yago'" <yago.natsunosuke@ebara.com>

Subject: Revised - 3rd redac JDP Workshop (6/21/04) Agenda

Date: Wed, 16 Jun 2004 21:45:22 -0700

Importance: high

X-Mailer: Internet Mail Service (5.5.2653.19)

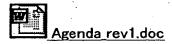
Folks,

Please find attached 3rd tedac JDP Workshop agenda which was revised based on discussion with tedac san of tedac today.

Please note that the meeting location has been changed from redacted to .

Please review and provide any inputs.

Best Regards, K.Musaka



# 3<sup>rdredac</sup> -EBARA JDA Workshop Meeting Agenda

Date & Time: June 21, 2004 (Mon) 9:00am-5:30pm

Place:

ETI -

redacted

Phone: redacted

Agenda:

June 21, 2004(Mon)

redacted

#### Mr. Musaka, 18:51 04/06/18 +0900, S1 IP list

To: Mr. Musaka

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: S1 IP list

Cc: Mr. Y.Fukunaga, Mr. Mishima

Bcc:

Attached: D:¥My Dcuments¥-redac PaP project¥#3Workshop 04.06.21¥EBR\_redac 04.06.21.ppt; D:¥My Dcuments¥-redac 用EBR特許リスト¥Ebara Patent Applications June15,2004.xls; D:¥My Dcuments¥-redac PaP project¥#3Workshop 04.06.21¥Translation of claims of #13 Facedown plating .doc; D:¥My Dcuments¥-redac PaP project¥#3Workshop 04.06.21¥Translation of claims of #16 Apparatus for plating substrate.doc;

#### 六平様

#3 workshop のIPの資料をお送りします。

パワーポイント Excel sheet #13のクレームの英訳 #16のクレームの英訳

#### です。

パワーポイントは会議で使用するものです。1.5Hrですので、かなり省略してやります。

Excel sheetは

#30,31,32が追加されています。全て共願です。 2,4,10,11,12,14,22,24,26,28,29は共願としました。

#13は従属項にパッドがあることを追記しました。

#13のクレーム及び#16のクレームの英訳は#13,#16のownershipの検討のための物です。 この帰属がもめることが無ければ、出す必要はないと思います。

#### Mr. Musaka, 18:51 04/06/18 +0900, S1 IP list.

To: Mr. Musaka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: S1 IP list

Cc: Mr. Y.Fukunaga, Mr. Mishima

Bcc:

Attached: D:\text{My Dcuments}\text{IBM PaP project}\text{#3Workshop 04.06.21}\text{EBR\_[redacted: the US company] 04.06.21.ppt; D:\text{My Dcuments}\text{EBR patent list for [redacted: the US company] \text{\text{Ebara Patent Applications June15,2004.xls; D:\text{\text{My Dcuments}\text{\text{[redacted: the US company]} PaP project}\text{#3Workshop 04.06.21}\text{\text{Translation of claims of #13 Facedown plating .doc; D:\text{\text{My Dcuments}\text{\text{[redacted: the US company]} PaP project}\text{#3Workshop 04.06.21}\text{\text{Translation of claims of #16 Apparatus for plating substrate.doc;}}

Dear Mr. Musaka

I send IP document for #3 workshop.

The document is consist of

**PowerPoint** 

**Excel sheet** 

English translation of #13 application

English translation of #16 application.

PowerPoint document is for the meeting. As I have only 1.5hours, I will omit considerably. In Excel sheet

#30, 31 and 32 are added. Alljoint applications.

#2, 4, 10, 11, 12, 14, 22, 24, 26, 28 and 29 are changed to joint applications.

Description of a pad in a dependent claim is added in abstract of #13.

English translations of applications #13 and 16 are for study of ownership of these applications.

If the ownership of these applications will not be a concern, I will not use these documents.

Support Document AN

Nils E. Pedersen, 16:18 04/06/23 -0400, Petitions for retroactive foreign filing licer... Page 1 of 1

Subject: Petitions for retroactive foreign filing license

Date: Wed, 23 Jun 2004 16:18:24 -0400

X-MS-Has-Attach: yes

To: "????" <sasabe.kenichi@ebara.com>

Dear Mr. Sasabe,

It was nice to see you again this afternoon. I hope you have an uneventful trip back toJapan.

redacted

Sincerely,

Nils E. Pedersen

for

WENDEROTH, LIND & PONACK, L.L.P. Attorneys and Counselors at Law Patents, Trademarks, and Copyrights 2033 K Street, N.W., Suite 800 Washington, DC 20006 U.S.A.

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For more information about Wenderoth, Lind & Ponack, L.L.P., please visit us on the web atwww.wenderoth.com



20040738 Fukunaga Statement - revision 1.rtf



20040738 Fukunaga Statement - revision 2.rtf

Support Document AO
Page 1 of 1

Sasabe, 02:19 04/06/26 +0900, Fw: Export License

From: "Sasabe" <2233754801@jcom.home.ne.jp>

To: <sasabe.kenichi@ebara.com> Subject: Fw: Export License

Date: Sat, 26 Jun 2004 02:19:51 +0900

X-Mailer: Microsoft Outlook Express 5.50.4133.2400

---- Original Message ---

From: Sasabe

To: npedersen@wenderoth.com
Cc: akai.yuichi@ebara.com

Sent: Thursday, June 24, 2004 7:52 PM

Subject Export License

Dear Mr. Pedersen

Thank you for the meeting on June 23.

redacted

Thank you for your cooperation. Best regards Kenichi Sasabe

# Mr. Musaka, 10:15 04/06/29 +0900, #3 Workshop Meeting IP presentation

To: Mr. Musaka

From: 笹部憲一〈sasabe.kenichi@ebara.com〉 Subject: #3 Workshop Meeting IP presentation

Cc: Mr. Y.Fukunaga

Bcc:

Attached: F:\(\frac{\text{redac}}{2004.6}\) \(\frac{\text{redac}}{\text{ted}}\) \(\frac{\text{FEBR}\_{-\text{ted}}^{\text{redac}}}{\text{od.06.21.ppt}}\); F:\(\frac{\text{F:}}{2004.6}\) \(\frac{\text{redac}}{\text{ted}}\) \(\frac{\text{FEBR}\_{-\text{ted}}^{\text{redac}}}{\text{Translation of claims of #13 Facedown plating .doc;}}\)
F:\(\frac{\text{F:}}{2004.6}\) \(\frac{\text{redac}}{\text{translation of claims of #16 Apparatus for plating substrate.doc;}}\)

#### 六平様

先日は有難うございました。 会議で使用した資料をお送りいたします。

なお、荏原の米国出願を担当しているPedersen redacted

#### Mr. Musaka, 10:15 04/06/29 +0900,#3 Workshop Meeting IP presentation

To: Mr. Musaka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: #3 Workshop Meeting IP presentation

Cc: Mr. Y.Fukunaga

Bcc:

Attached: F.\(\frac{1}{2}\)2004.6 [redacted: the US company]\(\frac{1}{2}\)FEBR\_[redacted: the US company]\(\frac{1}{2}\)2004.6 [redacted: the US company]\(\frac{1}{2}\)FEBR\_ are Patent Applications June18,2004.xls; F.\(\frac{1}{2}\)2004.6 [redacted: the US company]\(\frac{1}{2}\)Translation of claims of \(\frac{1}{2}\)13 Facedown plating .doc; F.\(\frac{1}{2}\)2004.6 [redacted: the US company]\(\frac{1}{2}\)Translation of claims of \(\frac{1}{2}\)16 Apparatus for plating substrate.doc;

Dear Mr. Musaka

Thank you very much at the meeting.

I send the documents I used for presentation at the meeting.

I talked with an attorney, Mr. Pedersen, who is representing Ebara in US filing. Based his advice reducted

## Mr. Musaka, Mr. Y.Fukunaga, 12:40 04/06/30 +0900, #28 English translation

To: Mr. Musaka, Mr. Y.Fukunaga

From: 笹部憲一 <sasabe.kenichi@ebara.com>

Subject: #28 English translation

Cc: Mr. Shinozuka

Bcc: Attached:

Dear Mr. Musaka

Please find attached English translation of #28 (2004-23256). Claim 1 is modified from Japanese original claim to eliminate a limitation of peripheral seal.

Best regards, Kenichi Sasabe

#### Mr. Musaka, 21:09 04/07/09 +0900, Ebara Applications #13 and #16

To: Mr. Musaka

From: 笹部憲一〈sasabe,kenichi@ebara.com〉 Subject: Ebara Applications #13 and #16

Cc: Mr. Y.Fukunaga

Bcc: Attached:

#### Dear Mr. Musaka

At the workshop meeting on June 22, we asked  $\frac{\text{redac}}{-\text{ted}}$  to reconsider the ownership of applications #13 and #16.

Is there any response from this matter?

Please confirm how they consider.

We are preparing for filing petition for foreign filing license also for these applications. If it is not necessary we will delete these numbers from the draft of the petition.

# Matsuo, Kontechs, 13:15 04/07/13 +0900, Re: 翻訳データについて確認させてください

To: "Matsuo, Kontechs" <saiko.matsuo@kontecs.com>
From: 笹部憲一 <sasabe.kenichi@ebara.com>
Subject: Re: 翻訳データについて確認させてください
Cc:
Bcc:
Attached:

At 11:25 04/07/13 +0900, you wrote: 笹部様

コンテックスの松尾です。 今朝の打ち合わせの際はありがとうございました。 原稿を拝見いたしました。そこで、いくつか確認させてください。

●電子データをご用意くださっているところではないかと思いますが、 電子データでいただけるものは、なるべく電子データでお願いいたします。 A'、V'の2枚目、Z''の2枚目も電子データがあれば大変助かります。 また、EおよびE2はウェブサイトの画面かと思いますが、 これもデータで落としたものをいただけると、大変助かります。

出来るだけ電子データをそろえてお送りします。

- ●社名にマーキングがないページがいくつかありました(V、V、V"、Z)。 マーキングされているものとして、翻訳してよろしいですか? チェックを十分出来ていないため、抜けがあると思います。気が付かれた場合には、 お願いします。
- ●S'''に人名(英語)があります。この方のお名前はどのように扱ったらよろしいですか? Pedersenは残してください。
  - ●Z""にも人名(英語)がありますが、この方はETIの方なので、そのままでよろしいですね?

Dan O'connellは残してください。

以上です。どうぞよろしくお願い申し上げます。

### Matsuo, Kontechs, 13:15 04/07/13 +0900, Re: Questions about data for translation

To: "Matsuo, Kontechs" <saiko,matsuo@kontechs.com>

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Re: Questions about data for translation

Cc:

Bcc:

Attached:

At 11:25 04/-7/13 +0900, you write:

Dear Mr. Sasabe

This is Matsuo of Kontechs.

Thank you for the meeting this morning.

I looked through the document. I have some question.

 I suppose you are preparing electronic data of the document. Please supply electric data as much as possible.

If you can supply electronic data of A', second page of V', second page of Z''', it will be helpful for us.

I think document E and E2 are hard copies ofwebsite. If you can download it and supply it to us, it is also a great help for us.

I will try to supply electronic data as much as I can.

 On some pages (V, V', V"", Z) company names are not masked. May we treat these names as masked?

As I could not check enough, there may be some errors. If you find such a error, please as it is masked.

There is a human name on S". How should we treat it?

Please leave "Pedersen" not masked.

There is a human name on Z". This gentleman is from ETI. I will leave it not masked.

Please leave "Dan O'connel" not masked.

That is all my question.

I look for your response.

\*\*\*\*\* Kontechs became a joint-stock company from July 1, 2004 \*\*\*\*\*

Saiko Matsuo

Kontechs Corp. Translation Service Dept.

3-1-21 Fukuda, Yamato-shi, Kanagawa-ken 242-0024

Tel/Fax: 0466-81-7759 (Ebara Research 7706)

In-house mail: ER out-sourcing section

e-mail: saiko.matsuo@kontechs.com



To: 篠塚担当部長殿 From: 笹部憲一〈sasabe.kenichi@ebara.com〉

Subject: Export License

Cc: 赤井部長殿

Bcc: Attached:

次の国内受付番号の発明届出書のコピーをお送りください。 同時に、出願時の事業部の部長が福永由紀夫さんか、三島さんのどちらかを教えてくださ

事業部部長

出願番号	国内受付番号
2002-242726	K1020505
2003-015235	K1020693
2003-015236	K1030031
2003-025159	K1030036
2003-111327	K1030262
2003-149827	K1030250
2003-161236	K1030263
2003-161237	K1030264
2003-169791	K1030261

### Manager Shinozuka, 20:16 04/07/16 +0900, Export License

To: Manager Shinozuka

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Export License Cc: General Manager Akai

Bcc:

Attached:

Please send me copies of "Notification of Invention"s of the following domestic receipt numbers.

Application Number	Domestic Receipt Number	General Manager of Development
2002-242726	K1020505	
2003-015235	K1020693	
2003-015236	K1030031	
2003-025159	K1030036	
2003-111327	K1030262	
2003-149827	K1030250	
2003-161236	K1030263	
2003-161237	K1030264	
2003-169791	K1030261	

From: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>

To: '笹部憲一' <sasabe.kenichi@ebara.com>

Cc: fukunaga.yukio@ebara.com

Subject: RE: Ebara Applications #13 and #16

Date: Sun, 18 Jul 2004 18:52:59 -0700

X-Mailer: Internet Mail Service (5.5.2653.19)

Sasabe-san,

Sorry for the long delay in my response, but redaction has not been back from her vacation yet and I do not expect any feedback from redaction on this matter until she comes back to work on next Thu, 7/22.

Can you hold the petition application till then?

Regards, K.Musaka

----Original Message-

From: 笹部憲一 [mailto:sasabe.kenichi@ebara.com]

Sent: Friday, July 09, 2004 8:09 AM

To: kmusaka@ebaratech.com Cc: fukunaga.yukio@ebara.com

Subject: Ebara Applications #13 and #16

Dear Mr. Musaka

At the workshop meeting on June 22, we asked redactor reconsider the ownership of applications #13 and #16. Is there any response from redactor on this matter? Please confirm how they consider.

We are preparing for filing petition for foreign filing license also for these applications. If it is not necessary we will delete these numbers from the draft of the petition. Subject: RE: Export License

Date: Tue, 20 Jul 2004 16:59:41 -0400

X-MS-Has-Attach: yes

Thread-Topic: Export License

Thread-Index: AcRo0q+o22ngJmXHQRuswmPN/FU93QFrh65A

From: "Nils E. Pedersen" <npedersen@wenderoth.com>

To: "????" <sasabe.kenichi@ebara.com>

Cc: "Joseph Gorski" <jgorski@wenderoth.com>

Dear Mr. Sasabe,

Thank you for your email of last week. I am sorry that it took so long to get back to you.

redacted

redacted

Unfortunately I will be out of the office until August 2, 2004. I have discussed the present matter with Joe Gorski, so please send/copy any correspondence in the meantime to Joe as well, and he can assist you in my absence.

Sincerely,

Nils E. Pedersen

for

WENDEROTH, LIND & PONACK, L.L.P. Attorneys and Counselors at Law Patents, Trademarks, and Copyrights 2033 K Street, N.W., Suite 800

Washington, DC 20006 U.S.A.

### Confidentiality Notice:

This e-mail message and any attachments are confidential, may be privileged, and may contain proprietary information. This email is intended exclusively for the individual or entity to which it is addressed. If you are not the intended recipient, please notify Wenderoth, Lind & Ponack, L.L.P. immediately by replying to this message or by sending an e-mail to wlp@wenderoth.com, and destroy all copies of this message and any attachments. Thank you. If you are not the intended recipient, you are not authorized to read, print, copy, retain, or disseminate this email or any information included in this email.

For more information about Wenderoth, Lind & Ponack, LLP., please visit us on the web at <a href="https://www.wenderoth.com">www.wenderoth.com</a>

-----Original Message--

From: sasabe.kenichi@ebara.com [mailto:sasabe.kenichi@ebara.com]

Sent: Tuesday, July 13, 2004 8:12 AM

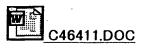
To: Nils E. Pedersen Co: akai.yuichi@ebara.com Subject: Export License

Dear Mr. Pedersen

redacted

redacted

redacTed



## コンテックス松尾様, 21:10 04/07/22 +0900, 納品受領の件

To: コンテックス松尾様 From: 笹部憲一〈sasabe.kenichi@ebara.com〉 Subject: 納品受領の件

Cc: Bcc: Attached:

### 松尾様

翻訳を受領いたしました。 請求書をお送りください。 有難うございました。

## Matsuo, Kontechs, 21:10 04/07/22+0900, Receiving the delivered translation

To: Ms. Matsuo, Kontechs

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Receiving the delivered translation

Cc:

Bcc:

Attached:

I have received the translation.

Please send the bill to me.

Thank you very much.

Yukio Fukunaga, 19:56 04/07/06 +0900 redac 発明者ご連絡頂きたく(至急)

X-Sender: yf08594@pop.ebara.co.jp

X-Mailer: QUALCOMM Windows Eudora Version 4.3.2-J

Date: Tue, 06 Jul 2004 19:56:12 +0900

To: "Musaka, Katsuyuki" <kmusaka@ebaratech.com> From: Yukio Fukunaga <fukunaga.yukio@ebara.com>

Subject: redac 発明者ご連絡頂きたく(至急)

Cc: shinozuka.shuhei@ebara.com, sasabe.kenichi@ebara.com

### 六平 様

標記の件、<u>S1 Pat. List #14(特願2003-195406)のUS出願手続きのため、redac 発明者を至急ご連絡頂きたく</u>、お願い致します。

なお優先日が7月10日で押し迫っています。 恐縮ですが、日本時間7月7日(水)朝一番までに篠塚さん(本社知財部)および 笹部さんにE-mailにてご連絡願います。

ところで credac の正式名称は、下記でよいでしょうか? redacted

(本件、笹部さん外回りのため、小職より連絡させて頂いています)

福永(由)

Yukio Fukunaga, 19:56 04/07/06 +0900, Please inform us of the names of inventors of [redacted: the US company] (Urgent)

X-Sender: yf08594@pop.ebara.co.jp

X-Mailer: QUALCOMM Windows Eudora Version 4.3.2-J

Date: Tue, 06 Jul 2004 19:56:12 +0900

To: "Musaka, Katsuyuki" <kmusaka@ebaratech.com> From: Yukio Fukunaga <fukunaga.yukio@ebara.com>

Subject: Please inform us name of inventors of [redacted: the US company] (Urgent)

Cc: shinozuka.shuhei@ebara.com, sasabe.kenichi@ebara.com

Dear Mr. Musaka

For the US filing of the application S1 Pat. List #14(2003-195406), please promptly inform us of the inventors of [redacted: the US company].

The priority limit is coming close, July 10.

Please e-mail to Mr. Shinozuka (IP department) and Mr. Sasabe by the early morning of July

Is the full name of [redacted: the US company] as follows?

[redacted: the US company]

(As Mr. Sasabe is out of the office today, I report to you for him)

Y. Fukunaga

### 04.3.31 Y.Fukunaga, Mishima, Kurashina, Sasabe

- #4: This invention was what Ebara presented to [redacted: the US company].
- #14: Ebara reported [redacted: the US company] about pad in January 2003.

  This invention belongs to Ebara.
- #24: Tha same process with #14. Plating solution was also Ebara's solution.

  There is a report on this development.

#12:

# Support Document AY

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# redacted

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	#4: GBR 2" reducted 10 presentation ( Et )
	#/6 : pad + 2003 1 w redacted 化节点
	5BR 7 8 7
	#24 1 #14 4 同じプロセス めっき流を日駅
	教长書 为()
	#12 i
	The state of the s

redacted

# Support Document AZ

nakashiba.masamichi@ebara.com, 赤井副部長殿, 09:05 04/03/24 +0900, Re: [社関連出願の出願

To: nakashiba.masamichi@ebara.com, 赤井副部長殿

From: 笹部憲一〈sasabe.kenichi@ebara.com〉 Subject: Re: redac 関連出願の出願方法

Cc: Bcc:

Attached:

中柴様、赤井様

まず教えていただきたいことがあります。

このプロジェクトのプレーヤーは3名いて、redac、EC、ETIです。

EBR側の登録メンバーは

Project Manager: N. Kimura (ETI/EC) Technical Coordinator: K. Musaka (ETI) ETI Tech Team: K. Namiki, R. Fang (ETI) EC Project Team Leader: Y. Fukunaga (EC)

Patent/IP Leader: K. Sasabe (EC)

となっています。

redac にEBRの装置があり、その装置を使ってted とETIと時によってECとが実験や解析、打合 せなどを行っています。 こういう中で、出願案件が主としてECから出され、しかしted、ETIの寄与もあるとして考えた場合 ("ted が主として発明した物は"ted が中心となって出願するはずです)、ECがライセンスを取ればよいのでしょうか。それとも、ETI、ted もうイセンスが必要なのでしょうか。

EC又はETIがライセンスを取ればよいのなら、以前から話を進めてもらっているSSDのライセ ンスの話しに追加してしまえばよいように思います。
「redain も含めて、プロジェクトとして何らかのまとまった申請が必要なら、「社に相談する必要があると思いますし、その場合には「redain いらここを使いたいとの要求が出るかもしれません。

誰が、どのような範囲に関してライセンスを取る必要があるのかを、まず明確にしたいと思い ます。 誰に依頼するかはその上で決めればよいと思います。

At 10:48 04/03/23 +0900, you wrote:

笹部様 どう考えますか

Forwarded by masamichi nakashiba/e/ebara jp on

2004/03/23

10:47 -

yuichi akai 2004/03/22 17:25

To: masamichi nakashiba/e/ebara\_jp@ebara\_jp

cc: sasabe.kenichi@ebara.com, fumio kondo/e/ebara\_jp@ebara\_jp, shuhei shinozuka/e/ebara\_jp@ebara\_jp, fukunaga.yukio@ebara.com, mishima.koji@ebara.com, sakaguchi.yoshiharu@ebara.com

Subject: Re: redac 関連出願の出願方法 (Document link: masamichi nakashiba)

nakashiba.masamichi@ebara.com, Deputy General Manager Akai, 09:05 04/03/24, Re: Filing procedure of applications related to [redacted: the US company]

To: nakashiba.masamichi@ebara.com, Deputy General Manager Akai

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: Re: Filing procedure of applications related to [redacted: the US company]

Cc:

Bcc:

Attached:

Dear Mr. Nakashiba and Mr. Akai

First of all I have something that I would like you to teach me.

There are three players in this project, i.e [redacted: the US company], Ebara Corp. and ETI.

The registered members of Ebara side are:

Project Manager: N. Kimura (ETI/EC)

Technical Coordinator: K. Musaka (ETI)

ETI Tech Team: K. Namiki, R. Fang (ETI)

EC Project Team Leader: Y. Fukunaga (EC)

Patent/IP Leader: K. Sasabe (EC)

There is a processing tool made by Ebara in [redacted: the US company] facility. [redacted: the US company] and ETI, and in some cases Ebara Corp., are conducting experiments, analysis and meeting together.

In this situation if ideas for applications are made mainly by EC, and ETI and [redacted: the US company] also contributing the ideas (if [redacted: the US company] mainly made the idea, [redacted: the US company] will lead the filing), is filing the petition for export license only by EC enough, or ETI and [redacted: the US company] also should file the petition?

If export license only by EC or ETI is necessary, I think this filing can be integrated in the filing of the export license that IP department has been proceeding with SSD.

If a filing for a comprehensive export license for this project including [redacted: the US company] is necessary, [redacted: the US company] may propose a firm they want to use for this filing.

I would like to clarify who, and for what area, should file the export license. Whom we ask to represent us can be decided later.

At 10:48 04/03/23 +0900	, you write:		
Dear Mr. Sasabe			,
How do you think?		•	
	Forwarded by m	asamichi naka	shiba/e/ebara_jp on
2004/03/23			
10:47			

yuichi akai 2004/03/22 17:25

To: masamichi nakashiba/e/ebara\_jp@ebara\_jp

cc: sasabe.kenichi@ebara.com, fumio kondo/e/ebara\_jp@ebara\_jp, shuhei shinozuka/e/ebara\_jp@ebara\_jp, fukunaga.yukio@ebara.com, mishima.kqii@ebara.com, sakaguchi.yoshiharu@ebara.com

Subject: Re: Filing procedure of applications related to [redacted: the US company] (Document link: masamichi nakashiba)

### 赤井副部長殿, 11:18 04/03/25 +0900, Fwd: JDP Patent Applications

To: 赤井副部長殿

From: 笹部憲一 〈sasabe.kenichi@ebara.com〉

Subject: Fwd: JDP Patent Applications

Cc: 篠塚担当部長殿, 近藤副部長殿, 中柴部長殿, 福永(由)室長殿

Attached: D:¥My Dcuments¥-red 用EBR特許リスト¥Ebara Patent Applications Mar0904.xls;

### 赤井様

先週六平さん、福永(由)さんと「ted 関係の出願について打合せを行い、その結果に基づいて六平さんが「ted の「ted さんと打ち合わせた結果だそうです。輸出ライセンスを取って日本出願を生かしたいもの、USで出願したので日本出願 (2004.1頃)を取り下げたいものなどがあります。 対応について検討して回答する必要があります。 めっきが中心ですので現在は近藤さんの範囲ですが、フライイングで赤井さんに協力お願いします。赤井さんが藤沢に来られる時に、福永さんを含めて相談したいと 思います。 Item番号の分かるリストは篠塚さんが持っていると思いますが、念のため貼付して おきます。(ブル―の部分は2004.3.9の変更分です。)

redacの件は今後の出願に関しても相談しておいた方がよいと思います。

From: "Musaka, Katsuyuki" <kmusaka@ebaratech.com>

To: ″Sasabe Kenichi (E−mail)″ 〈sasabe.kenichi@ebara.com〉,″Fukunaga. Yukio (E−mail)″

<fukunaga.yukio@ebara.com>

Cc: "Nambu, Isao (E-mail)" <isao.nambu@nifty.ne.jp>,"Kimura. Norio (E-mail)"

<kimura.norio@ebara.com>,"Hodai. Masao (E-mail)" <hodai.masao@ebara.com>,"Mishima.

Koji (E-mail)" <mishima.koji@ebara.com>

Subject: JDP Patent Applications

Date: Wed, 24 Mar 2004 17:29:06 -0800

Importance: high

X-Mailer, Internet Mail Service (5.5.2653.19)

Sasabe-san, Fukunaga-san,

I had a meeting with redac-san on last Monday regarding patent applications through the JDP.

Followings basically explain how she wants us to handle this matter.

Item#2(USP) and Item#22(JP) - Add " redacted " and " redacted redacted " as co-inventor. (So, EC/redacted have to apply for export license.)

Item#4(JP), #10(JP), #12(JP), #14(JP), #24(JP) - redac - san believes - redac s posses rights as co-inventors. However, she generously understood complexity of the correction process, and will discuss with patent attorney to decide which of the following 3 options they want to pursue.

Opt.1 - Withdraw. Then, re-submit as redac / Ebara co-invention.

Opt.2 – Add redac as co-applicants.

Opt.3 – Add redac as co-inventors. (Apply for export license)

Item#11(JP) - redac - san does not believe redac owns any rights as co-inventor. So, it's OK as it is now, Ebara's own invention.

Item#26(JP), #28(JP), #29(JP) – Abandon all JPs since Philippe already submitted disclosure covers #26 and #28, and so as #29 by redaction stream stream redactions. So, those are being filed as USP under redaction /Ebara co-inventions.

redacted 's disclosure which hard copy we reviewed in last week will be also filed as USP under redacted /Ebara co-invention.

Please re-discuss with folks in Japan if those are acceptable, and let me know any issues/concems.

Thank you for your understanding and strong support on this matter.

Best Regards, K.Musaka

### Deputy General Manager Akai, 11:18 04/03/25 +0900, Fwd: JDP Patent Applications

To: Deputy General Manager Akai

From: Kenichi Sasabe <sasabe.kenichi@ebara.com>

Subject: JDP Patent Applications

Cc: Manager Shinozuka, Deputy General Manager Kondo, General Manager Nakashiba,

General Manager Y. Fukunaga

Bcc:

Attached: D:\forall My Documents\forall Ebara patent list for [redacted: the US company]\forall Eabara Patent Applications Mar0904.xls:

Dear Mr. Akai

I discussed with Messrs. Musaka and Fukunaga last week about applications related to [redacted: the US company]. This is a result of a talk between Mr. Musaka and [redacted: personal name] of [redacted: the US company].

There were some applications for which we will have an export license and use the Japanese applications as they are, some applications for which the Japanese applications (filed around January, 2004) shall be dismissed as US applications containing similar inventions have been filed in US, and so on.

We must consider how to treat these applications and reply to him.

As plating is the main technology, which is covered by Mr. Kondo, I would like to ask Mr. Akai's cooperation though you are not in charge of this technology yet. When Mr. Akai comes to Fujisawa, I would like to have a discussion including Mr. Fukunaga

Mr. Shinozuka should have the list of the applications by which you know the item numbers I attach the list to this mail just in case. (portions colored blue were modified on March 9, 2004.)

We had better discuss also about future filing related to [redacted: the US company].

[Below to the end is originally English text.]

```
Musska, Katsuyuki, 09:05 04/03/12 -0800, RE: EBARA Patent Application Translati... Page 1 of 2
```

From: "Musaka, Katsuyuki" <kmusaka@ebaratech.com> To: "' redacted (E-mail)'" < redacted .> Cc: "'Fukunaga. Yukio (E-mail)'" <fukunaga.yukio@ebara.com>,"'Sasabe Kenichi (E-mail)'" <sasabe.kenichi@ebara.com> Subject: RE: EBARA Patent Application Translations Date: Fri, 12 Mar 2004 09:05:57 -0800 X-Mailer: Internet Mail Service (5.5.2653.19)

-san,

Please find attached translation of Ebara's Japanese patent application item#23.

<<2003-402006(#23).doc>>

I believe that's the last item we agreed to prepare the translations, and have not been submitted.

Please review and advise how you want us to handle the matter.

Best Regards. K.Musaka

```
-Original Message
 > From:
               Musaka, Katsuyuki
 > Sent: Tuesday, March 09, 2004 9:53 AM
 > To:
         redacted
                      (E-mail)
 Cc: Fukunaga. Yukio (E-mail); Sasabe Kenichi (E-mail)
               EBARA Patent Application Translations
 >redac
 Thank you for your time and valuable inputs in our meeting yesterday
 > although your busy schedule.
> Please find attached summary of Ebara's patent application status. There
 > are some corrections in the one I handed to you a hard copy yesterday
 > (highlighted in red).
> << File: EBARA Applications_030904.xls >>
> Attached below are translations of Ebara's Japanese patent applications
> which hard copies I handed to you today.
> << File: 2003-015236(#4).doc >> << File: 2003-149827(#10).doc >> <<
> File: 2003-161236(#11).doc >> << File: 2003-161237(#12).doc >> << File:
> 2003-195406(#14).doc >> << File: 2003-431211(#24).doc >> << File:
> 2004-022178(#26).doc >> << File: 2004-023256(#28).doc >> << File:
> K1040028(#29).doc >>
> Also, attached below is the Ebara's US patent application. As I explained
> to you yesterday, the #2 which was filed in Japan on 12/2/02 was
> abandoned, then re-filed as #22 in Japan on 11/28/03, within 1 year from
> the original(#2) filing date. The US patent applications for #2 as well as
> #22 were also filed about the same time, 12/1/03, to obtain the priority
> of #2, within 1 year from its original(#2) filing date in Japan.
```

```
> << File: GEB1998US(#22).pdf >> << File: GEB1998US_Image(#22).tif >> > Please review and advise us which you want us to amend for co-invention > with redacted >> > Best Regards, > K.Musaka >> P.S. I'm still waiting for a translation of #23. I'll e-mail it to you as > soon as I receive it.
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2003-402006(#23).doc

※<sup>6</sup> 「社外発明者」欄には荏原製作所(EBR)、荏原総合研究所(ER)、荏原ポイラ(EB)、荏原工業洗浄(EICC)以外の発明者等を記入する。 8 発表日: 月 24 出

至急( / 月 2 | 日まで) 理由:a.社外発表(右欄記入) 願 緩 b. 当社先願公開期限

発表先:

日

21

社内・社外発明者や EBR 以外の出願人名義について、本用紙に書ききれないときは発明等届出掛補足書に記入し本用紙に添付する。

c. 国内優先権主張期限

急

够 者

記

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	Ø	)												
1	多	叉約関係*7	共同	司研究等	契約書	1. 有	(相手:				)	(2) 無	Ę	· · · · · · · · · · · · · · · · · · ·
1 新 明	Ě		共「	司出願契約	約書		(作成担 「要	当: a . 当社	土 b.	相手先(		<del>7</del> -		))
老記		共同出願、他社名	名義の	出願とする	根拠とし	て契約書が	がある場合、	契約書の写しる	を添付す	る。		<del></del>		<del> </del>
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程		1) 調査済み		出願内容	に最も近り	,	,	2. 無		02,00	,			′
1	17	/ (右欄記入	)	公知例を る。	2 部添作	すすし他	社のもの	①. 有(	特開	2000 - 2	3207	<u> </u>		)
√	2	2. 未調査						2. 無						
<u> </u>							•							
T	F		発明	の性質	発明の	性質に	よりA, B	, Cのうち	一列を	選択(記号	·  を〇)	して評価	西	
		呼価項目					様の発明			・技術の発明		こ.先行ア		ア発明
	Q	)先行技術に対 優位性	する	技術的	1. [	司等	2	2. 若干優位		3. 相当	優位	4.)	断然優	<b> 登</b> 位
- 1	-	他社侵害確認			1. 村	返めて 区		2. かなり困	難	3. やや	困難	4	容易	
		課題・手段の			1. 7			2. 普通		3. 重要		(4)	最重要	Đ.
	_	他社における 回避困難度	<b>本</b> 允	明の	1. 容易		膜困ゆゆ	<u>,</u>		難 4. 7	「可			:
休	76	実施関係		ļ	1. 不明2. 国内		担供	1. 未定					-	
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元 上						-	で実施	4. 採用		~V-1				
依頼元上長記	6	技術的実現性			-					_	- 11	. 不明		困難
礼 入 欄		独創性				·	<del></del>					. 容易		検討済
欄.		,			·		·				3	. 不明 . 中	4.	小 大
.		群評価※9				- "	普通(1倍	<del>í</del> ) 2.	重要	(2 倍)	(3) 最	量要(3	倍)	
	<b>※8</b>	他社が本発明等を	侵害	しているか	否かの判別	リの程度の	こと.							
0	<b>3</b> <sup>× 9</sup>	本発明及び他の関	連する	る発明で形成	成する発明	群におけ	る、本発明の	の他の発明に対	する相	対的な重要度	の評価。			
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		列,B 列発明	N. V. C	as a		上 -{s/	'	Al services		不要(理由				)
		)+②+③+④+⑤ 列発明	))×(	8)= <u>54</u>	1	4 →A 9 →B	11	外国出願		要(国名: 不要	•	+÷		)
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	の	①特許性:_   ②権利の広る		2		, .	ው+③+④)× 上 →s	(6)=	合評	A: 重要 B: 通常		1 2	1.28	3/57
	評	③他社侵害研		 )難易度:	7.		5 →A		価	公: 公開	支報	A THE		11 7 11
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知財部記入撊	<u> </u>				×11 評	価点を記	入し、該当の	評価ランクに	〇を付け	する。 <sup>※12</sup> ઇ	当の評価	ガランクに	〇を付	ける.
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	態	3. 万副 4. 変更 🦳										コ	/	
	出願		と給す	る	2. 支	給しなり	ハ (理由:		<u></u>		L			<del></del>
- 1 1	144: =1	z												

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\*2 The "In-house inventor" column is for inventors in Ebara Corporation (EBR), Ebara Research (ER), Ebara Boiler Co.,Ltd. (EB), Ebara Industrial Cleaning Co.,Ltd. (EICC), or Ebara Refrigeration Equipment & Systems Co., Ltd. (ERS).

Industrial Cleaning Co.,Ltd. (EICC),	Or E	para	<del>,</del>	<del>,                                      </del>			<del>,</del>																
The column below is	1		Dept.	Post	Employee	Name	Share	Seal for	Living														
applicable only to inventors	1			Tel	No. (five		of the	confirming the transfer	in U.S. <sup>*3</sup>														
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Regarding to the service																							
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(inventor, deviser, or creator)	<b> </b> _	1	Development			Kurashina		a															
acknowledge that any and	그	1	Office 2	l '																			
all rights to the invention in	In-house		Development					1															
Japan and other countries	98		Center 1		-																		
have been transferred to the	3																						
Company (Ebara	<u></u>																						
Corporation) upon invention.	inventor				!																		
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applicable only to inventors	Total:	2	Process	715	08320	Keisuke	20%	Namiki															
in ER, EB, EICC, and ERS.	<u>  22-</u>		Development			Namiki																	
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Company ( )		*	above	716	13010	Koji Mlshima	10%	Mishima															
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<sup>3</sup> Put a checkmark if the investor is living in U.S.

<u> </u>		
Abplication type	1. Sole application by EBR 2. Joint application by EBR and acompany other than EBR	
1	3. Sole application by a company other than EBR 4. Other	

	6 <sup>*4</sup> The "Applicant other than I	EBR" column is for inv	ventors in EB, EICC, and ERS; for	inventors in ER, see the ins	tructions on the form.
	Patent prosecution by:	(1. EBR 2. Othe	er than EBR (	. )	
	Expense is:	1. Paid by EBR	2. Equally shared 3. Paid	otherwise	·
	Applicant other than EBR*4	Company/ personal name	Contact (address, Tel, and responsible in Intellectual	Share of the rights	Share of the cost
ı	(Total: applicant(s))		Property Dept.		
-				%	%
ı				%	%

\*5The "External inventor" column is for inventors outside of EBR, ER, EB, EICC, and ERS.

External inventor	Company	Name	Address	Share of the interest
(Total: inventor(s))*5				%
i		:		%
• •				

If descriptions of in-house//external inventors or applicants other than EBR cannot be contained in this form, write the descriptions in the Supplement and attach it to this form.

Urgency of	1. Normal	Released on: 2003/1/24
application filing	2. High (by January 21.)	Released to: Cooperative
	Reason: a. External release (Fill the right column.)	company in US
	b. Deadline for publication of our prior	
	application	
•	c. Deadline for claiming domestic priority	1
	Collaboration contract	

# Notification of Invention (2/2)

9			
Related	Written contract for joint research	1. Available (partner: ) 2. N/A (current)	
contract <sup>*6</sup>	Written contract for joint filing of patent	1. Required (Prepared by: a. Us b. Partner ( ))	•
$\mathcal{O}_{}$	applications	2. Not required	
5.44	10		•

When there is a written contract that justifies the joint filing or filing under other name, attach a copy of it to this form.

Prior-art search	Related application and	Ours	1. Available (K1020693) 2. N/A
. Done (Fill the right column.) 2. Not done	prior art: Attach two items of prior art related to the application.	Others'	1. Available (Publication No. 2000-232078) 2. N/A

Nature of invention	Choose A. B. or C. (enclose	with a circle), considering t	he nature of the invention
Tractile of invention	A. Invention for current	B. Invention for new	C. Invention of new ideas
V saksatian itam			C. Invention of new ideas
Evaluation item	products/technologies	products/technologies	<u> </u>
(1) Technical superiority over prior art	1. None 2. A little 3. Cor	nsiderable 4 Very large	
(2) Difficulty to find	1.Very difficult 2.Consider	ably difficult 3.A little difficu	ult 4.Easy
infringement*8			
(3) Severity of	(. Unknown 2. Normal 3	. High 4. Very high	
challenge/means		, ,	
(4) Difficulty of design around	1.Easy 2.A little difficult	3.Considerably difficult	_
	4.Impossible		
(\$) Applicability to production	1.Unknown	1.Not decided	
	2.Domestic small scale	2.Planed to trial prod.	·
	3.Domestic large scale	3.Under or finished trial	<u>.</u>
1	4.Domestic and abroad	production	
1		4.Decided to adopt	·
(6) Technical realizability		colded to adopt	1.Unknown
(5) . 55th how to dailed blifty	•		2.Difficult
			3.Easy
(T) (O · · · · · · · ·			4.Study finished
(7) Originality			1.Unknown 2. Low
			3. Medium 4. High
(8) Group judgement 9	1. Normal (single) 2. Impo	rtant (double) 3. Most impe	ortant (triple)

Difficulty to judge if other company infringes this invention

Judge of importance of this invention to other inventions in an invention group comprising this invention and other re lated inventions

12					
Oalculation for rating	Rating by requesting department				
For inventions of $A$ or $B$ ((1)+(2)+(3)+(4)+(5))×(8) = 57 For inventions of $C$ ((1)+(2)+(3)+(6)+(7))×(8) =	45 or higher → S 30-44 → A 20-29 → B Less than 19 → C				

	10	•	
Filing of patent applicati		Required     Not required; it should be published     Journal of Technical Disclosure.     Not required (reason:	d on
Foreign is:	filing	1.Required (country name:     2.Not required     3.Not dicided	)

٠.	14	
	Special note	2003.1.10 Discussed with patent agent Ono. Please proceed urgent.
	1	
	• •	

Boss's seal of approval: Mishima

15

15			
	Evaluation by Intellectual Property Dept	Rating by Intellectual Property Dept***	Overall evaluation*12
Evaluation	(1) Patentability: 2	((1)+(2)+(3)+(4))×(5)=16 36 or higher → S 24-35 → A 16-23 → B Less than 15 → C	S: Most important A: Important B: Normal C: Journal of Technical Disclosure. D: No filing
L			E: By company circumstance

-	
Evaluation	Evaluation
Approver	Approver
Seal:Kubo	Seal:
03.1.28	Shinozuka

Enter the evaluation values and circle the appropriate rank. \*12 Place a circle on the appropriate item of the evaluation level.

Application	1. Regular application Patent firm	
category	2. Domestic priority Original application No.: Ono	
	3. Division	
	4. Change	
Award for fili	ling the patent application 1. Will be offered 2. N/A (reason:	
Remarks		

Should you have any comment on the evaluation, contact us within two weeks.

IPW-001 (Rev. 1.3)

•	発明等届出書(1/2)	(1.特	許 2.意际	3.その	つ他)**	Support (補足書	1.有・	2.無)	社外秘
	Poát (735)	Po	INELTHINITE (3)	162) 11186	案で出願したい場 財産部	合は、「3.その他」	10811U1 	1991年第2日成 30250	する。
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16		CL72 < PHIS	faire	03,4.08	<b>-1</b>	百日(西曆) 「元 Doc.No.'	2003 715-B32		19日
	門 担当者 個人コード: (Post: 715	-朋発t 室 計介。 08320		2. 1 3. 1 4. 1	管理 博報·通信	6. 新江初年 (7) 精密·電	1 17 79	8. <b>住原</b> 9. <b>住原</b> 10. <b>住原</b> 11. <b>住原</b> 12. その	工業洗浄 冷熱システム
<b>②</b>	   発明等の名称   パルスめっき機棒	撤					~~	1 個村	<del></del>
	キーワード 異方性。多孔質/		パルス電圧印加				PP,0	10 ( 13 4)	- ( <del>\text{\tiny{\tinit}}}}}}}} \end{\text{\texitile}}}}}}}}} \text{\tex{\tex</del>
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			2. 重点拡販	幾種でな	い研番	成果 研1	Vo. L -	02D54709	) <b>.</b>
Ø									
,	ところの譲渡確認	く、本刻 て会社。 知的財産 認印欄に	発明等に関する- と交渉する 部に送付してくださ は捺印しないで下さ	-切の権 い。下の社 い。	利につき、 比内発明者記	する 譲渡 (医印権	確認印欄	者記入欄の。	
(3)	※ 2 「社内発明者」欄には荏原製作所(EBR)、 荏原総合研究	究所(ER).						er Estadete	×3
	下梱は EBR の発明者等だけに適用する。 上記の職務発明等に関し、私(発明者・ 考案者・創作者)は発明等の時点におい て日本及び外国における一切の権利を	社内発明者	所属部門名 第一開発センタ - 第二プロス開発室	Tel	個人コード (5 桁): 13010	三島 浩二		権利 譲渡 特分 確認 10	米国 <sup>※ 3</sup> 印在住
ž	会社(株式会社荏原製作所)に譲渡したことを確認します。 下欄はEREBEICC ERSの発明者等だけに適用す	者 2	ļ		20248	中田 勉		10, 6	
月	る。 上記の職務発明等に関し、私(発明者・	4 3	<del>                                      </del>	<del>  _   _   _   _   _   _   _   _   _   _</del>	1155	倉科 敬一	- /	10 ()E	
	考案者・創作者)は発明等の時点において日本及び外国における一切の権利を会社() )に譲渡し	名 4		<del></del>	8320	並木 計介		10, 3	
	たことを確認します。	<sup>2</sup> 5	:					8	
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Į. ×			と EBR 以外の者			R 以外の者の		4. その	他
ور آگ	4 在原ポイラ(EB)、在原工業洗浄(EICC)、在原冷熱>ステ 出願手続会社 (1) EBR		をIEBR 以外の出願人名義 EBR 以外の者		する。荏原総合研	究所(ER)は紀入要領	を参照のこと	<u>.                                    </u>	
ł	費用負担 (1) EBR 負担、			、 .そのft	łı				<del></del>
ŀ	EBR 以外の 会社名又は氏名		A先(住所、Tel、			(等)		権利持分	費用負担
	出願人名義※4	1						%	%
]	(計 名)						· · · · · · · · · · · · · · · · · · ·		
1						•		%	%
יָּי ז®	<sup>(5</sup> 「社外発明者」 描には荏原製作所(EBR)、 荏原総合研究	研(ER)、有	E原ポイラ(EB)、在原工業を	t沖(EiCC) .	在原冷熱システム(ER	S)以外の預明者等を	紀入する。		
	社 会社名	氏	名	住	所				権利持分%
l	発								%
.	者名**5						,		%
-	計内・計外を関連も PRP UMの出始 1 名名について	h. 111 44 1 - 17	* * h h l . L # H d m l m Cr l				<del></del>		

山旗緩急	(金) (金) (金) (金) (金) (金) (金) (金) (金) (金)	)(3月1	自由	まで)	理由:	: a. ½ b c	上外発 . 当社 . 国区	表(右相 上先願公 勺優先権	関記入) 阴切限 主張切り		発表日: 発表先:	作,		月	[5]
和秋	的関係*®	共同和	F究等 <sub></sub>	型約事	1. 葎	<b>「(相手</b>	<u>.</u>	<del></del>		····		) 2.	:NF	<del></del>	
	2124 PW		出願契約	約書	1. 翌			: a. ¥	5社 b	. 相手	先(	, <u>2.</u> 	<i></i>		) )
※ 6 共同	川崎、他社名義の	出物とするも	別拠として				低付する			<del></del>					
	実施状況			領・公知の		社のも		1. 有	(		*****				<del></del>
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	(右欄記)	()	2 部添	N 9 3.	他	社のも	の	1. 有	(			************	***************************************	***************************************	)
(2).	未調査			<del></del>				2. 無	<del></del>		<del></del>				<del></del>
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1	行技術に対	する技	術的	1. 同		<b>イガリマンプ</b>		』 B.利 □ 若干優			相当優化	C.先行 Z 4		了 光 明 <b>逐位</b>	<i>н</i> ———
優	位性						۵.		. 192				1 19136	(BETY)	
	題・手段の 創性	)重要性		1. 不	明	<del></del>	2.	普通		3.	重要		ノ最重		
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اره	開発計画			2. 開多		の終する									
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	列の発明		15	<u> </u>				W Entires	3.	不要	(理由:	/ <del>5</del> 2)			
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			<u>.</u>	<u>.</u>			ı L		12.	113		J. A.E.			$\overline{}$
特記	事項(小	路先生	たか	Fenn	E(Jō	3.,;				•				上县	绅 )
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評 (	①特許性			1. な	し	(	<b>2</b> /1	`		3. 中	!	4.	大		
価 (	②権利の広	さ		1. 狭	ζì	(	<b>2</b> 4	や狭い		3. ₺	や広い	4.	広い		
	③本発明の	回避困	難度	1. 容	易		(a) 4	難困ゆ		3. か	なり困難	4.	不可		
	<b>④特許的総</b>	合評価		1. 軽	度(1	倍)	<b>②,</b> i	<b>通常(2</b>	倍) :	3. 重	要(3 倍)	4. 負	支重要	(4倍)	)
知財音	₿評価点:( *7	(D+(2)+	③)×@	9= 12,		総合評	平価※8		以上 → ⁄83 →					* 120 m	<del></del>
依頼元	C評価点 + 统	<b>知財部</b> 評	<b>※</b> 7	,				28~ 27 L	·63 → 人下 →	B: 道 C:出				增0	
出 1	. 通常出	<del></del>	※7評価。	さを記入する.			* 1	数当の評価:	ランクに〇を	付ける。	15.	Ab			
願 2 形 3	通常出版 2国内優分 3分割 4変更			<b>基礎出願</b> 都	<b>译号:</b>			· .			特	許事務所		· · · · · ·	
出願賞	1.	支給する	5	2. 支統	合しな	い (理	由:		··			<del> </del>			)
備考					-										

5

\*2 The "In-house inventor" column is for inventors in Ebara Corporation (EBA), Ebara Research (ER), Ebara Boiler Co., Ltd. (EB), Ebara

Industrial Cleaning Co., Ltd. (EICC)	, or E	bara	Refrigeration Equ	ipment &	Systems Co.,	Ltd. (ERS).		•	
The column below is			Dept.	Post	Employee	Name	Share	Seal for	Living
applicable only to inventors		1		Tel	No. (five		of the	confirming	in
in EBR.					digits)	1	rights	the transfer	U.S.*3
Regarding to the service							-		
invention described above, I		1	Process	716	13010	Koji	10%	Mishima	
(inventor, deviser, or creator)			Development	9427		Mishima			
acknowledge that any and		1	Office 2						
all rights to the invention in	5		Development	l					
Japan and other countries	눍		Center 1						
have been transferred to the	In-hous	١.		İ	·			, ·	
Company (Ebara	Œ			Ì				i i	
Corporation) upon invention.	inventor	1							
The column below is	19	L						•	
applicable only to inventors	9	2	Process	716	20248	Tsutomu	10%	Nakada	
in ER, EB, EICC, and ERS.		] ;	Development	8566		Nakada		]	
	(Total:		Office 2						
Regarding to the service	-		Development					]	
invention described above, I	_		Center 1						
(inventor, deviser, or creator)	inventor(s))	3	Process	716	21155	Keiichi	40%	Kurashin	
acknowledge that any and	Ž		Development	8556	. •	Kurashina		a	
all rights to the invention in	9		Office 2						
Japan and other countries	(s)		Development						
have been transferred to the	ನೆ		Center 1						
(Company ( )		4	Process	715	08320	Keisuke	40%	Namiki	ļ
upon invention.			Development	9244		Namiki			
			Office 1		i				
			Development Center 1					]	
]	l l	5	Cettlet 1						
		3							İ
									1

Put a checkmark if the investor is living in U.S.

Application type 1. Sole application by EBR 2. Joint application by EBR and acompany other than EBR 3. Sole application by a company other than EBR 4. Other

7
"4 The "Applicant other than EBR" column is for inventors in EB, EICC, and ERS; for inventors in ER, see the instructions on the form.

Patent prosecution by:	(1. <b>È</b> BR 2. Othe		)	
Expense is:	1. Paid by EBR	2. Equally shared 3. Paid	otherwise	
Applicant other than EBR*4 (Total: applicant(s))	Company/ personal name	Contact (address, Tel, and responsible in Intellectual Property Dept.	Share of the rights	Share of the cost
			%	%
		·	%	%

\*The "External inventor" column is for inventors outside of EBR, ER, EB, EICC, and ERS.

	External inventor	Company	Name	Address	Share of the interest
	(Total: inventor(s))*5				%
1			·	·	%
1			·		

If descriptions of in-house//external inventors or applicants other than EBR cannot be contained in this form, write the descriptions in the Supplement and attach it to this form.

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invention to the products

Overall judgment or patenting

the invention

Notification o	rinvention (2	2/2)								Confidential	
Urgency of application fili	ng 2. Hi		(by Middle of March) n: a. External release (Fill the right column.) b. Deadline for publication of our prior application					1	eased on: YY eased to:	/YY/MM/DD	
				line for clai		nestic pric	ority				
			Collabo	ration conti	ract						
10				······································		<b>,</b>	-		· · · · · · · · · · · · · · · · · · ·		
Related	Written contra					<del></del>	able (partne		2. N/A (c		
contract 6	Written contra	act for	joint filir	ng of patent	t			red by:	a. Us b. P	'artner ( ))	
When there is a	applications	4h-a4 i		inima Elimana u	fling under		equired		A - Abi- 6	•	
11	willen contract	that ju	istilles the	joint tiling of	illing under	r otner nan	ne, attach a c	opy of it	to this form.		
Prior-art searc	h		Related		Ours	1. Availa	able (	)			
			application	on and		2. N/A	<u></u>				
). Done (Fill th	ne right colum		orior art: Attach two	itams of	Others'	1. Avail	able (	)	ı		
2. Not done		, ,		lated to the		2. N/A			•		
1			application								
12									· ·		
Na	ture of inventi								e nature of th		
$\bigcirc$				A. Invention for current B. Invention for new C. Invention of new ideas							
Evaluation iter			products/technologies products/technologies  1. None 2. A little 3. Considerable 4 Very large								
(1) Technical:	superiority ove	er   1	I. None	2. A little	3. Consi	derable	4 Very larg	je ·			
prior art (2) Severity of	:		(. Unkno	wn 2 No	rmal 3	High 4	Very high				
challenge/		'	. GIIKIIO	WII 2. ;40	1111au 3. 1	riigii <del>4</del> .	very mgm				
(3) Originality		1-					(. Uhknov	vn 2. l	Low 3. Mer	dium 4. High	
	ent project for	1	1. N/A -								
•	ased on the		2. In the final stage								
invention			3. In the intermediate stage								
(5) Importance	of the		4. In the early stage 1. Low 2. Rather low 3. Considerably high 4. High								
	o the products		i. LOW	z. naulei ii	JW 3. C	unsiderai	oly mgn 4.	nign			
	gment by the		. Less ir	nportant (s	ingle) 2.	Modera	te (double)	3. Imi	portant (triple	<b>a)</b> .	
requesting				cant (quadr			. (====,=,	- · · · · · · · · · · · · · · · · · · ·		7	
13											
Qalculation	For	((1)	+(2)+(4)	+(5))×(6) =	60	Filing	of the	1. Red	quired		
for rating of	inventions				· .	pater			t required; it :		
the evaluation	of A or B	ŀ				applic	cation is:		olished on Jo		
-	İ				•		·		chnical Disclo		
	For	((1)	. (3) . (3)	+(5))×(6) =		Forci	gn filing		t required (re equired (cour		
	inventions	""	+(2)+(3)	+(5)) ×(6) =			patent	U.		nuy name.	
•	of C	1 .			<b>!</b>		cation is:		ot required		
		1.							ot determine	d ·	
14										· · · · · · · · · · · · · · · · · · ·	
Special note	Please ask F	atent	agent C	no.					7 E	Boss's seal of	
( )					-	•		approval:			
							•		_	Mlshima	
15											
	ntability					3. Mediur				F .4	
	e of rights	the c		1. Narrow							
(3) Indispensability of the 1. Low 2. Rather low 3. Considerably high 4. Indispensable											

Less important (single)
 Normal (double)
 Important (triple)
 Significant (quadruple)

16

Evaluation by Intellectual Property

Dept.: ((1)+(2)+(3))×(4)= \*7 12

Votal of the evaluation values by the requesting side and Intellectual

Property Dept.\*7 = 72

Overall evaluation \*8 84 or more -> S: Significant 64 to 83 -> A: Important 28 to 63 -> B: Normal 27 or lower -> C: Not apply

Evaluation
Approver
Seal:
Kondo
Seal:
Shinozua
03.4.10

Enter the evaluation values into the formula.

\*8 Place a circle on the appropriate item of the evaluation level.

Application category	<ol> <li>Regular application</li> <li>Domestic priority Or</li> <li>Division</li> <li>Change</li> </ol>	iginal application No	.:	Patent firm	
Award for fili	ng the patent application	1. Will be offered	2. N/A (reason:	)	
Remarks					

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Should you have any comment on the evaluation, contact us within two weeks.

出願手続会社	1. EBR	2. EBR 以外の者 ( )		
費用負担	1. EBR 負担	2. 均等負担 3. その他		
EBR 以外の	会社名又は氏名	連絡先(住所、Tel、知財部門担当者名等)	権利持分	費用負担
出願人名義 <sup>※ 5</sup> (計 名)			%	%
			%	%

<sup>※ 5</sup> 荏原ポイラ(EB)、荏原工業洗浄(EICC)は上記「EBR 以外の出願人名義」の欄に記入する。荏原総合研究所(ER)は記入要領を参照のこと。

社	会社名	氏 名	住 所	権利持分
好計				%
社外発明者»" (計 名)		<u></u>		%
全 名				%

<sup>※6</sup> 「社外発明者」欄には荏原製作所(EBR)、荏原総合研究所(ER)、荏原ポイラ(EB)、荏原工業洗浄(EICC)以外の発明者等を記入する。

出	1. 普通		-	<del></del> .		発表日:	年	月	日
願	2. 至急(	月	日まで)	理由:a.	社外発表 (右欄記入)	発表先:			
緩				b.	当社先願公開期限				
急				С.	国内優先権主張期限				

社内・社外発明者や EBR 以外の出願人名義について、本用紙に書ききれないときは発明等届出書補足書に記入し本用紙に添付する。

) )

ED.

ום אואסוונטו פווטמומיוווו מופ כטומווווא ווטוו ל וט דו.

\*2 The "In-house inventor" column is for inventors in Ebara Corporation (EBR), Ebara Research (ER), Ebara Boiler Co.,Ltd. (EB), Ebara Industrial Cleaning Co.,Ltd. (EICC), or Ebara Refrigeration Equipment & Systems Co., Ltd. (ERS).

Industrial Cleaning Co.,Ltd. (EICC),	or L	para	Herngeration Equ	iipment &	Systems Co.,	Ltd. (ERS).			
The column below is			Dept.	Post	Employee	Name	Share	Seal for	Living
applicable only to inventors				Tel	No. (five	}	of the	confirming	in
in EBR.	]			1	digits)		rights	the transfer	U.S.*3
Regarding to the service	1			1		İ			٠.
invention described above, I	1	1	Process	716	20248	Tsutomu	20%	Nakada	
(inventor, deviser, or creator)	_	1	Development			Nakada	1		
acknowledge that any and	17	1	Office 2						
all rights to the invention in	n-hous		Development						
Japan and other countries	98	1	Center 1						
have been transferred to the	3			1			ļ		
Company (Ebara	<u> </u>	İ							
Corporation) upon invention.	entor		·			1		1	
The column below is	-	<u> </u>							
applicable only to inventors	Total:	2	Process	715	08320	Keisuke	30%	Namiki	
in ER, EB, EICO, and ERS.	<u>e</u>	1	Development		•	Namiki			
	]	İ	Office 1					·	
Regarding to the service	inventor(s))*2	1	Development			İ	,	•	
invention described above, I	è	<u> </u>	Center 1						
(inventor, deviser, or creator)	₫	3	Process	716	21155	Keiichi	30%	Kurashin	
acknowledge that any and	(8)		Development		· ·	Kurashina		a	
व <del>ी ri</del> ghts to the invention in	7.3		Office 2						
apan and other countries			Development						
have been transferred to the			Center 1		10010				
Company ( )		4	Same as	716	13010	Koji	20%	Mlshima	٠.
upon invention.			above			MIshima			
		5			l				
· · · · · · · · · · · · · · · · · · ·			ł		1			1	

Put a checkmark if the investor is living in U.S.

2	
Application type	1. Sole application by EBR 2. Joint application by EBR and acompany other than EBR
	3. Sole application by a company other than EBR 4. Other

<sup>4</sup> The "Applicant other than EBR" column is for inventors in EB, EICC, and ERS; for inventors in ER, see the instructions on the form.

Patent prosecution by:	1. EBR 2. Othe	er than EBR (	)	
Expense is:	1. Paid by EBR	2. Equally shared 3. Paid of	otherwise	
Applicant other than EBR*4 (Total: applicant(s))	Company/ personal name	Contact (address, Tel, and responsible in Intellectual Property Dept.	Share of the rights	Share of the cost
			%	%
			%	%

\*The "External inventor" column is for inventors outside of EBR, ER, EB, EICC, and ERS.

	Company	Name	Address .	Share of the interest
(Total: inventor(s))*5	·			%
1				%

If descriptions of in-house//external inventors or applicants other than EBR cannot be contained in this form, write the descriptions in the Supplement and attach it to this form.

Urgency of	1. Normal	Released on:	
application filing	2. High (by January 21.)	Released to:	
•	Reason: a. External release (Fill the right column.)		
	b. Deadline for publication of our prior		
	application	1	
	c. Deadline for claiming domestic priority		٠
	Collaboration contract		

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# Notification of Invention (2/2)

			•					331111311133		
9		_								
Related	Written co	ntract)	for joint research		1. Availa	able (partner:	) 2. N/A (d	current)		
contract <sup>*6</sup>	Written co	ntract	for joint filing of paten	it		1. Required (Prepared by: a. Us b. Partner ( ))				
	application				2. Not re	equired	•			
When there is	a written cont	ract tha	t justifies the joint filing or	filing un	der other nam	e, attach a copy of i	t to this form.			
10										
Prior-art sear	ch		Related	Ours	1. Availa	ble (Heisei 11-36	37754)			
			application and	<u> </u>	2. N/A	•	,			
1. Done (Fill the right column.)			prior art:	Other	s' 1. Availa	ble (Publication	No. 2000-248	3397)		
2. Not done			Attach two items of		2. N/A			•		
	*		prior art related to the							
11		<del></del>	application.	<u> </u>						
	-A &		101	<del></del>				<del></del>		
IN	ature of inve	euirou -	Choose A, B, or C (	enclose						
Evaluation ite	m		A. Invention for curr		B. Invention		C. Inventior	n of new ideas		
(1) Technical		Over	products/technologi 1. None 2. A little	es 2 Co	products/to	echnologies	1			
prior art	Superiority	over	1. Noting 2. A little	3. Coi	isiderable	4 very large				
(2) Difficulty to	o find		1.Very difficult 2.C	onsider	ably difficult	2 A little difficu	ult 4 Ecov			
infringeme			1.Very and 2.0	Onsider	ably unitedi	. S.A iille Gincl	iit 4.⊏asy	•		
(3) Severity o			1 Unknown 2 No	rmal 3	High 4 \	Very high				
challenge/		_	2:110	(. Unknown 2. Normal 3. High 4. Very high						
(4) Difficulty o		<b>Sund</b>	1.Easy 2.A little difficult 3.Considerably difficult -							
		_	4.lmpossible		,					
(5) Applicabili	ty to produc	ction	1.Unknown	1.Not deci	ided	· ·	-			
)			2.Domestic small scale		2.Planed t	to trial prod.				
			3.Domestic large scale		3.Under o	r finished trial				
			4.Domestic and abro	production			•			
<del></del>				4.Decided	to adopt					
(6) Technical	realizability						1.Unknown			
•			•				2.Difficult			
					ļ		3.Easy			
(7) Originality							4.Study finis			
(7) Originality							1.Unknown 3. Medium			
(8) Group judg	rement <sup>*9</sup>		1. Normál (single)	2 Impo	rtant (double	a) 2 Maatimpa		4. High		
		nàny in	fringes this invention	z. mpo	itani (doubi	e) 3. Most impo	rtant (triple)			
9 Judge of import:	e il olliel coli ance of this ir	wention	iringes this invention i to other inventions in an	invantia	n amus como	riolma thia lateantia.				
2		iv Ci itioi	i to other inventions man	i ii ivei iiio	13	using this invention	and other relat	ed inventions		
Galculation for	rating	Ratin	g by requesting	Filir	ng of the	1. Required				
<i>y</i>			rtment	pate		2. Not required	t it should be	nublished on		
For inventions	of A or B		higher → S		lication is:		echnical Disc			
((1)+(2)+(3)+(4	-		l → A	177	, , , , , , , , , , , , , , , , , , ,	3. Not required		)		
F-4			) → B			<u> </u>	<u> </u>			
For inventions of C					eign filing	1.Required (co	untry name: l	JS, CN, KR,		
((1)+(2)+(3)+(6)	6)+(7))×(8)	Less	than 19 → C	is:		TW, EU)				
=						2.Not required				
4				L	<u> </u>	3.Not dicided				
Special note		<del>- ,</del> .	<del></del>	<del></del>	<del> </del>		<b>-</b>			
Special note							B	loss's seal of		
				•		•	'	approval:		
		· · · · · ·						Wishima / -		

15			<b>'</b>
	Evaluation by Intellectual Property Dept	Rating by Intellectual Property Dept <sup>11</sup>	Overall evaluation*12
_m	(1) (Patentability: 2	$((1)+(2)+(3)+(4))\times(5)=16$	S: Most important
<b>(</b> )	(2) Scope of rights: 2	36 or higher → S	A: Important
ua	(3) Difficulty to find infringement: 2	24-35 → A	B: Normal
Agluation	(4) Difficulty of design around: 2	16-23 → B	C: Journal of Technical
1 3	(5) Group judgement: 2	Less than 15 → C	Disclosure.
			D: No filing
			E: By company circumstance



Evaluation **Evaluation** Approver Seal: **Approver** Seal: Shinozuka 03.4.15

\*11 Enter the evaluation values and circle the appropriate rank. \*12 Place a circle on the appropriate item of the evaluation level.

16						
Application	1. Regular application	Patent firm Watanabe · Hotta				
category	2. Domestic priority O					
	3. Division					
	4. Change	•				
Award for fili	ng the patent application	1. Will be offered 2. N/A (reason:	)			
Remarks						

Should you have any comment on the evaluation, contact us within two weeks.

IPW-001 (Rev. 1.3)

	発明	月等届	售出	(1/2)	(	1.特	許	2.意匠	3.	その	他)	<b>%</b> 1		(補足	昌	1.有	· 2.	無)	[	社外和	必
0	n. 3.4	716)				× 1 K(III	にしてり	Minaとする。 の分 ) [	、何し、火 Post(52)	川新楽 ないが	で##### 	たい単	ስは.	f3. <del>č</del>	の他」	にOを付 K/0	しか的は 230 <i>2</i>	MBと1 64	刊以する。	_	
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12	~\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\	内をご記	2人下	さい。	15.417£	FIRRUM >	revi.	10115			در ارا ۱ سوسه	依束	页元	西恩 Doc		'0 .716	3年		FF 25		
	依 (部門コード)     (V350.     )       類 部門名     第一開発セク,第二プロス開発室,開発一部     分 2. 情報・通信・制御     7. 荏原ボイラ       市 万 野類送付先     氏名:中田 勉 個人コード: 20248 (Post:716 Tel:8566 )     本部 5. 精密・電子     4. エンジニアリング 5. 精密・電子     名社 2. 情報・通信・制御 5. 精密・電子																				
3	2% pp 4	等の名称	11.15	このめっき	<b>土器</b> ]	ひてじゃ	<sup>ト</sup> っキ	古社										148	FT \	<del></del>	$\neg$
	キーワ	フード	めっ	き、平坦性	生。」	匀一性	长、埋		めっき	•						≥P,	0/.		4.15		
		の性格		重点拡販機				重点拡則		_		研番			<u> </u>	No. L					
<b>(</b>		<del></del>		原製作所(EB	R)、7	生原総·	.,									発明者等				1	** 4
f	上記	EBRの発明を の職務発し	男×3等	に関し、私		生		部門名	Pos Tel		[人固			氏 1			推 積 持 分	}	認印	米国 在住	
	明等0	の時点に:	おいて	作者)は発 日本及び外 権利 を会社	1 3 B	上 万 宅 月 き   		-開発センタ ニプロセス	716	2	1	1 5	5 2	<b>倉科</b>	敬一		40	%	属	)	
١	(株式	式会社在 とを確認	原製作	所)に譲渡	ŧ 1	2		- 開発センタ - プロセス	715	- 0	8	3 2	0 3	並木	計グ	7	40	%	THE STATE OF THE S		
ŀ				itic適用する。 に関し、和	<u>,</u>	3	第一	-開発センタ ニプ ロセス	716	2	0	2 4	8 '	中田	勉		10	%	(1.32)		
	(発明明等 <i>0</i>	月者・考案 D時点に、	君・創 おいて	作者)は発 日本及び外	1	3 4	第一	-	716	]	3 (	0 1	0 3	三島	浩二		10	%		)	
ı	(	おける一 ことを確認		権利を会社 )に譲渡 す。	*	* 5		-7 - 0.1					-					%	- ES.		
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	出願 <i>)</i> (計	人名義 <sup>※ 5</sup> 名)											-						%	%	
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ر ج	<sup>× 5</sup> 荏原	ボイラ(EB)	)、荏原コ	C業洗浄(EIC	C)は.	上記「E	BR 以	外の出願人	名義」の	間に部	己入す	る。 荏	原料	8合研	究所(	ER)は	記入要	領を参	き照のこ	٤.	
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8)		1. 普通2. 至急		月 E	まっ	で)	理由		外発表 社先願 内優先	公開	期阻	Į	•	発表			年		月	· <b>B</b>	

社内・社外発明者や EBR 以外の出願人名義について、本用紙に書ききれないときは発明等届出書補足書に記入し本用紙に添付する。

## 発明等届出書(2/2)

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1	契約関係*7	共同研究等基	2約書	1. 有(相手	:				)	2. 無	Ę	
ž.		共同出願契約	勺書	1. 要(作成 2. 不要	旦当	: a. 当社	b.	相手先	: (			))
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_	※ <sup>8</sup> 他社が本発明等	<del></del> を侵害しているか	否かの判別			<del></del>						<del></del>
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"1 Use this form for patent application filing. For utility model application, enclose "3. Other" with a circle and consult with Intellectual Property Dept.									
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Fitle of the invention Plating Method and apparatus of substrate pp,01 limura									
Keyword Plating, planarity, uniformity, filling ability 03.4.16									

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\*2 The "In-house inventor" column is for inventors in Ebara Corporation (EBR), Ebara Research (ER), Ebara Boiler Co., Ltd. (EB), Ebara Industrial Cleaning Co., Ltd. (EBC), or Ebara Politicaration Equipment & Sustana Co., Ltd. (EBC)

Industrial Cleaning Co.,Ltd. (EICC),	or E	bara				Ltd. (ERS).															
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Application type

1. Sole application by EBR 2. Joint application by EBR and acompany other than EBR
3. Sole application by a company other than EBR 4. Other

The "Applicant other than EBR" column is for inventors in EB, EICC, and ERS; for inventors in ER, see the instructions on the form.

Patent prosecution by:	1. EBR 2. Othe	er than EBR (	)					
Expense is:	1. Paid by EBR 2. Equally shared 3. Paid othewise							
Applicant other than EBR*4 (Total: applicant(s))	Company/ personal name	Contact (address, Tel, and responsible in Intellectual Property Dept.	Share of the rights	Share of the cost				
			%	%				
			%	%				

\*The "External inventor" column is for inventors outside of EBR, ER, EB, EICC, and ERS.

External inventor	Company	Name	Address	Share of the interest
(Total: inventor(s))*5				%
				%

If descriptions of in-house//external inventors or applicants other than EBR cannot be contained in this form, write the descriptions in the Supplement and attach it to this form.

Urgency of	1. Normal	Released on:
application filing	2. High (by )	Released to:
	Reason: a. External release (Fill the right column.)	
	b. Deadline for publication of our prior	
	application	
	c. Deadline for claiming domestic priority	
	Collaboration contract	·

Boss's seal of approval: Wishima

## Notification of Invention (2/2)

Special note

9	_										
Related	Written co	ntract	for joint research		·	1. Availa	able (partner:	) 2. N/A		-	
contract <sup>*6</sup>	Written co	ntract	for joint filing of pate	nt			ired (Prepared b		Partner (	))	
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Prior-art sear	ch		Related	Ou	ırs	1. Availa	ble (Application	2000-13201	5)		
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	Evaluation by Intellectual Property Dept	Rating by Intellectual Property Dept***	Overall evaluation*12
	(1) Patentability: 2 (2) Scope of rights: 2	((1)+(2)+(3)+(4)) ×(5)=16 36 or higher → S	S: Most important A: Important
luation	<ul><li>(3) Difficulty to find infringement: 2</li><li>(4) Difficulty of design around: 2</li><li>(5) Group judgement: 2</li></ul>	16-23 → B	B: Normal C: Journal of Technical Disclosure.
	(-, -, -, -, -, -, -, -, -, -, -, -, -, -	Less than 15 → C	D: No filing E: By company circumstance

Evaluation	Evaluation
Approver	Approver
Seal:	Seal:
Kondo	

Enter the evaluation values and circle the appropriate rank. \*12 Place a circle on the appropriate item of the evaluation level.

Application	1. Regular application		Patent firm	
category	2. Domestic priority Or	Watanabe · Hotta		
	3. Division			
	4. Change			
Award for fili	ng the patent application	1. Will be offered 2. N/A (reason:	)	
Remarks				

Should you have any comment on the evaluation, contact us within two weeks.

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0	) Posit (	716)		×	<sup>1</sup> 原則として Post(	特許出願とする。 <i>708</i> ) P	但し、実用 ost(52)	新案で出願し 町的財産部	たい場合は	は、「3.その他」に	Oを付し KIO:	町的以産部と 3026 <b>1</b>	拍談する.	
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1	製品の		1. 重点拡販機			. 重点拡販			研番用			-02D54		
B	<sup>※2</sup> 「社F	内発明者」欄	には荏原製作所(EBI	R)、在I	京総合研9	究所(ER)、在J	原ポイラ(	EB)、荏原	工業洗	浄(EICC)の発	明者等(	のみ記入す	る。	
9			等だけに適用する。	· 21-	所	属部門名	Post	個人」-	· <b>卜</b> '	氏 名		権利	認印	<b>米国</b> ※ 4
1	上記(発)	)職務発明 月者・考案:	*3等に関し、利 者・創作者) は発		-	HH TO L. A	Tel	0 1 6	-1 -1 -	H-07 404		持分		在住
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		とを確認		子子	第	一開発センタ 一プロセス 	716			長井 瑞樹		70. *	(3)	
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ı	(発明	月者·考案:	者・創作者)は発	名		<u></u> / ロCA 一開発センタ	716	1 3 0	1 0	三島 浩二			<b>A</b>	1
١	明等の	)時点にも らけるー	iいて日本及び外 切の権利を会社	` .		二プロセス	1,10	1111				20. <sup>%</sup>		
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			・しょ。  発明でないと考える <sup>1</sup>	退合け	図印稿にお	甲印せずに送ん	すする。		ل <sub>د</sub> 4 %	(国に在住して	いる場合	合はレ印る	付ける。	<u> </u>
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7		以外の	会社名又は氏名	,通	8格先(	住所、Tel、	知財音	門担当	者名等	<u>{</u> )		権利抗	好 费	用負担
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	<b>&gt;</b> 4-	会社名		ſ	モ 名			住 所		· · · · · · · · · · · · · · · · · · ·			権利	持分
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社内・社外発明者や EBR 以外の出願人名義について、本用紙に掛ききれないときは発明等届出書補足書に記入し本用紙に添付する。

b. 当社先願公朋期限

c. 国内優先権主張期限

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知財部記	※ * * * * * * * * * * * * * * * * * * *	世社が本発明等を 年発明及び他の関 西計算式 川,B 列発明 +(2)+(3)+(4)+(5) 川発明 +(2)+(3)+(6)+(7) ご事項 知財部評価に ②権利の会 3)他社侵害	類連する発 (D) × (8) = (D) × (8) = (D) × (8) = (D) × (8) = (E) ※	EUCE	成する発明 45以 30~2 20~2 19以 *10 該当	川の程 元 上 - 一 で 14 で 14 で 16 15	度のこと おける、 m5>/2*10 S ABC m5>/2 m5>/2 m5>/2 m5>/2 m5>/2 m5>/2 m5/2 m5/2 m5/2 m5/2 m5/2 m5/2 m5/2 m5	本発明の か に○を付い ・ ・ ・ ・ ・ ・ ・ ・ ・ ・ ・ ・ ・	他の発出願望外国にける。	野に対す要否出願	3. 1. 総合評価※ 12	的な 要 要 ( ) 要 不 要 ( ) S A ( ) C D E :	重 (国 最重通公見会	3. 最 2. : (3.) 要 转键 符合	金	報で (4年)	よい 上級 出当 21日4	智))
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Notification of Invention (1/2) (1 Patent 2. Design 3. Other) (Supplement: 1. Attached 2. N/A) Confidential "Use this form for patent application filing. For utility model application, enclose "3. Other" with a Confidential circle and consult with Intellectual Property Dept. Post (718) Post (52) Intellectual Property Dept. K1030264 This form Patent Manager General Related Generaî Manager **Responsible** Date of receipt filled by: Kanda liaison: manager. dept.: person: y IP Dept./No manager. Kondo Kanda Nagai Mishima, Sasabe Nakashiba Yamaji 2003.04.16 03.4.8 Q3.4.15 Be sure to affix the seal in the appropriate space of the "For the boss of the requesting dept." column on 2/2. Sakaguch Date of request (Christian year): 2003/3/25 03.4.08 Requesting dept. Doc.No.: 716-Fill in within heavy-line frames. (Dept. code) (V350) Ebara Research 6. Corporate 1. Dept. name **Process Development** Ebara Boiler Co.,Ltd. Requesting Cate Strategic Information and (Affiliate) Office 2 Development Ebara Industrial Cleaning Communication Systems Co.,Ltd. Center 1 3. Fluid Machinery & Systems Name: Hiroyuki Kanda Person 4. **Engineering** responsible for Employee No.: 21559 **Precision Machinery** the documents (Post: 716 Tel: 7247) Title of the invention Plating Method and apparatus of substrate pp,01 limura Keyword -Plating, planarity, uniformity, filling ability 03.4.15 Related product or technology DMP, Impregnation plating, Bump plating Character of the product 1. Sales-focused Result of: Job No. L-02D547 2. Not sales-focused

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\*2 The "In-house inventor" column is for inventors in Ebara Corporation (EBR), Ebara Research (ER), Ebara Boiler Co.,Ltd. (EB), Ebara

Industrial Cleaning Co.,Ltd. (EICC)	, OI E	T					<del></del>	<del>-</del>	
The column below is			Dept.	Post	Employee	Name	Share	Seal for	Living
applicable only to inventors				Tel	No. (five		of the	confirming the transfer	in U.S.*3
in EBR.					digits)	İ	rights	the transfer	0.5.
Regarding to the service									
invention described above, I	1	1	Process	716	21159	Hiroyuki	40%	Kanda	
(inventor, deviser, or creator)	<b> </b> _		Development		1	Kanda			
acknowledge that any and	17	1	Office 2				·		
all rights to the invention in	ğ	ļ	Development						
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have been transferred to the	Ĭ.	1		İ					
Company (Ebara	6								
Corporation) upon invention.	entor								
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applicable only to inventors	Total:	2	Process	716	20894	Mizuki	20%	Nagai	
in ER, EB, EICC, and ERS.	<u>a</u>	1	Development			Nagai			
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Regarding to the service	]=	l	Development					ļ .	
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(inventor, deviser, or creator)	inventor(s))*2	3	Process	716	21630	Satoru	20%	Yamamot	
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ال <del>ap</del> an and other countries	"		Development				]	·	
have been transferred to the			Center 1						
Company ( )		4	Same as	716	13010	Koji	10%	Mishima	
upon invention.			above			Mlshima			
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5
Application type 1. Sole application by EBR 2. Joint application by EBR and acompany other than EBR 3. Sole application by a company other than EBR 4. Other

The "Applicant other than EBR" column is for inventors in EB, EICC, and ERS; for inventors in ER, see the instructions on the form. Ratent prosecution by: 1 EBR 2. Other than EBR ( 1. Paid by EBR Expense is: 2. Equally shared 3. Paid otherwise Applicant other than Contact (address, Tel, and Company/ Share of the rights Share of the cost EBR\* personal name responsible in Intellectual (Total: applicant(s)) Property Dept. % %

<sup>5</sup>The "External inventor" column is for inventors outside of EBR, ER, EB, EICC, and ERS.

External inventor	Company	Name	Address	Share of the interest
(Total: inventor(s))*5				%
		·		%

If descriptions of in-house//external inventors or applicants other than EBR cannot be contained in this form, write the descriptions in the Supplement and attach it to this form.

Urgency of	1. Normal	Released on:	
application filing	2. High (by	Released to:	
	Reason: a. External release (Fill the right column.)		
	b. Deadline for publication of our prior		,
	application		
	c. Deadline for claiming domestic priority	ļ .	
	Collaboration contract		

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### Notification of Invention (2/2)

9										
Related	Written co	ntract	for joint research		1. Available (partner: ) 2. N/A					
contract <sup>*6</sup>	application	าร	for joint filing of paten		2. Not re	equired	y: a. Us b. Partner ( ))			
When there is a 10	a written cont	ract tha	t justifies the joint filing or	filing un	der other nam	e, attach a copy of	it to this form.			
Prior-art sear	ch		Related application and	Ours	1. Availa 2. N/A	able (	)			
Done (Fill the right column.)     Not done			prior art: Attach two items of prior art related to the application.	Other		ble (	)			
11	Aura of ince	· · · · · ·	TO:		***					
INE	ature of inve	entron					he nature of the invention.			
Evaluation ite		$\leq$	A. Invention for curr products/technologi		B. Invention	on for new echnologies	C. Invention of new ideas			
(1) Technical prior art	superiority	over	1. None 2. A little		nsiderable	4 Very large				
(2) Difficulty to infringeme	o find ent <sup>*8</sup>		1.Very difficult 2.C	onside	ably difficul	t 3.A little difficu	ılt 4.Easy			
(3) Severity o challenge/			1. Unknown 2. No	1. Unknown 2. Normal 3. High 4. Very high						
(4) Difficulty o		ound	1.Easy 2.A little di	1.Easy 2.A little difficult 3.Considerably difficult						
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(5) Applicabili	ty to produc	ction	1.Unknown 2.Domestic small sc	ماء	1.Not deci		-			
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(6) Technical	realizability						1.Unknown			
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(7) Originality							1.Unknown 2. Low			
							3. Medium 4. High			
(8) Group judg		(		2. Impo	rtant (doubl	e) 3. Most impo	ortant (triple)			
			fringes this invention			**				
Judge of importa	ance of this in	nvention	n to other inventions in an	inventio 13	n group comp	rising this invention	and other related inventions			
Galculation for	rating		g by requesting		ng of the	1. Required				
·		depa	rtment	pate		2. Not required	; it should be published on			
For inventions			higher → S	арр	lication is:		echnical Disclosure.			
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For inventions	of C		) → B		eign filing	1.Required (co	untry name: )			
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Special note			•				Boss's seal of			
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13		•	•
	Evaluation by Intellectual Property Dept	Rating by Intellectual Property Dept***1	Overall evaluation*12
Exaluation	<ul> <li>(1) (Patentability: 2</li> <li>(2) Scope of rights: 2</li> <li>(3) Difficulty to find infringement: 3</li> <li>(4) Difficulty of design around: 2</li> <li>(5) Group judgement: 2</li> </ul>	((1)+(2)+(3)+(4))×(5)=18 36 or higher → S 24-35 → A 16-23 → B Less than 15 → C	S: Most important A: Important B: Normal C: Journal of Technical Disclosure. D: No filing E: By company circumstance



Evaluation	Evaluation
Approver	Approver
Seal:	Seal:
Kondo	Yamaji
,	03.4.17

Enter the evaluation values and circle the appropriate rank. \*12 Place a circle on the appropriate item of the evaluation level.

	1. Regular application	Patent firm
category	2. Domestic piority Original application No.:	Kuma
	4. Change	
Award for fili	ng the patent application 1. Will be offered 2. N/A (reaso	on: )
Remarks		

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Should you have any comment on the evaluation, contact us within two weeks.

### 発明部門メニューへ事業本部特許部メニュー

社外秘

一時保存したものに追記する場合、または、承認/否認する場合、上部の「編集」リンクをクリックしてください。 **発明等届出書** 

届出日:2003/06/27

知的財産部受付番号:K1030415 受付日:2003/07/03

依頼元担当一記入 ▼依頼元上長一記入 ▼事業本部特許部一記入 ▼ワークフロー情

★は必須入力項目です。

### **▼依頼元担当一記入欄**



### ②【依頼元情報】

会社★	01 荏原製作所	部門	V350二プロ開発一	
整理番号(Doc.No.)	716-L36271			
担当者	会社区分+社員番号:0121155	氏名:	倉科 敬一 TEL:8556	
本部名★	PP 精密·電子	<del>-22 2</del>		

### ②【基本情報】

国内/外国★	国内	国内			
四法★	特許	特許			
発明の名称★	基板のと	基板のめっき装置及びめっき方法			
キーワード	めっき、	めっき、平坦性、均一性、埋設性			
関連する製品名	DMP、	DMP、含浸めっき、バンプめっき			
関連する業務コード	その1	その1 7B配線めっき装置 その2 7Cバンプめっき装置			
研番	L-03D51	L-03D51306			
研番依頼元	部署名	部署名 V350二プロ開発一			
職務発明について★	1.職務発	明である			



### ③ 【荏原製作所/荏原総合研究所/荏原電産の発明者】

荏原製作   長井 瑞樹   ポストNO:716   開発一   開発一			社員番号/氏 名 (会社区分+社 員番号)	内線NO/ポストNO/E-mail	所属部門コー ド/名称	持分 (%)	米国在 住	代表発明 者 ★
荏原製作 所       長井 瑞樹       ポストNO:716 E-mail: nagai.mizuki@ebara.com       開発ー         3 EK0001/ 荏原製作 所       0121630 山本 晩       内線NO:9293 ポストNO:716 E-mail: yamamoto.satoru@ebara.com       V350ニプロ 開発ー       25	1	荏原製作		ポストNO:716		25		Check
在原製作 山本 暁 ポストNO:716 開発一 E−mail:yamamoto.satoru@ebara.com	2	荏原製作		ポストNO:716	1 1 1 1 1	25		
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在原製作 神田 裕之 ポストNO: 716-2 所 E-mail: kanda.hiroyuki@ebara.com		荏原製作		• • • • • • • •	1 1.000-	15		,

所		E-mail: mishim	a.koji@ebara.com		-		
該当無しおよび予	定発明者						
	<del></del>						
【荏原総合研究所·	荏原電産以	外の関連会社/	社外の発明者】				
会社コード/	名称	氏名	TEL/E-mail	所属	部門またに	は住所 米	国在住
1			TEL: E-mail:				
該当無しおよび予	定発明者	1					
出願人】							
コード/名称(	(略称)	住所連絡先など		"	権利持 分(%)	費用負 担(%)	手続担 当 ★
1 EK0001 荏原製作所		本社住所:			E	E	担当
性原要作所	,	連絡先住所:〒 部署:担当:			-		
11		TEL: FAX:					
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▲▼	定出願人		2003/07/09 社外発表		redacted		
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▲【▼】 出願緩急】 出願緩急	定出願人	出願希望日		発表日:	2003/07/		
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▲【▼】 出願緩急】 出願緩急 契約関係】	定出願人 至急	出願希望日	社外発表 種類	発表日:	2003/07/		
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調査状況★	未調査
調査内容	検索式:
	資料:
競合メーカー	ノベラス、ニューツール、アプライドマテリアル、AMCリサーチ

② 【関連出願公知例】

当	社の関連出願公知例★	有
	特願2003-15236号 または文献名:	ファイル
2	号 または文献名:	ファイル
3	号 または文献名:	ファイル
4	号 または文献名:	ファイル
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他	社の関連出願公知例★	#
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(特記事項) 特記事項

☑ 【発明等説明書(明細書素案)】

明細書	図面	その他
<u>- なじませ条件3521.doc</u> サイズ: 196608バイト	_ なじませ条件3521.TIF サイズ: 356976パイト	
添付者:keiichi kurashina/e/ebara_jp 添付日:2003/06/27	添付者:keiichi kurashina/e/ebara_jp 添付日:2003/06/27	添付者: 添付日:

▲依頼元担当一記入	依頼元上長一記入	▼事業本部特許部一記入	▼ワークフロー情

## **▼**依頼元上長一記入欄

② 【発明部門評価】

発明の性質		A. 珀力制见 计纸办效则		- · · · · · · · · · · · · · · · · · · ·
元のいに貝	. 1)	A:現在製品·技術の発明	•	•
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①先行技術に対する技術的優位性 (品質向上、コスト削減、省エネ効果等)		3. 相当優位
②課題・手段の重要性	<u> </u>	4. 最重要
③独創性 (発明の性質がCのときのみ必須)		0. 未評価
④本発明が対象とする製品の開発計画 (開発、販売など) (発明の性質がA又はBのときのみ必須)		4. 開発計画の初期段階である
⑤本発明が製品に占め	かる重要度(割合)	4. 大きい
⑥依頼元総合評価		4. 最重要
評価点		60点
出願要否 要(理由:)		
外国出願要否要		
特記事項	関連特許をまとめ、st	F内海外出願が必須。

#### 事業本部特許部一記入 ▲依頼元担当一記入 ▲依頼元上長一記入

### 事業本部特許部一記入欄

部長記入欄	担当	坂口さん
	コメント	お願いします。
担当者記入欄	コメント	CL1に記載の構成は、特開2000-232078(東芝)に開示されているが、CL2 の含浸体と基板の被めっき面が接触と非接触を繰り返す振動である点の記 載はありません。よって、出願することはOKと考えます。
	添付文書	
	作業終了サイン	坂口:終了

ł	▲依頼元担当一記入	▲依頼元上長一記入	▲事業本部特許部一記入	ワークフロー情
- 1				



現在のユーザ: kenichi sasabe/e/ebara\_jp 現在の承認者: 要求 ID NTNN-5NW6L3

ステータス: 完了



申請者	承認者	1
keiichi kurashina/e/ebara_jp	hiroyuki kanda/e/ tsutomu nakada/e koji mishima/ kenichi	/ebara_jp

sasabe/e/ebara\_jp masamichi nakashiba/e/ebara\_jp

承認者情報

(3)

申請者名	申請日	CCメール
keiichi kurashina/e/ebara_jp	2003/06/27	akira fukunaga/e/ebara_jp

(6)

7 (3	27. 631 -by 4/1, 1988	I Z en x A	1[-7, 67] #0 0G		[Z#7] C	
	承認者役職	承認者名	承認期限	ステー タス	承認日	CCメール
9	<b>艳明者上司</b>	hiroyuki kanda/e/ebara_jp	2003/07/04	承認	2003/06/30	
	<b>リエゾン</b>	tsutomu nakada/e/ebara_jp	2003/07/07	承認	2003/06/30	·
層		koji mishima/e/ebara_jp	2003/07/07	承認		hiroyuki kanda/e/ebara_jp katsuhiko tokushige/e/ebara_jp hidenao suzuki/e/ebara_jp hidekazu nagano/e/ebara_jp
	事業部側特 午部門長	kenichi sasabe/e/ebara_jp	2003/07/07	承認	2003/07/02	
		masamichi nakashiba/e/ebara_jp	2003/07/09	承認	2003/07/03	

### ♥コメント

CN=hiroyuki kanda/0U=e/0=ebara\_jp 承認 2003/06/30 14:10:56 特になし CN=tsutomu nakada/0U=e/0=ebara\_jp 承認 2003/06/30 14:53:34 承認しました。 CN=koji mishima/0U=e/0=ebara\_jp 承認 2003/06/30 15:15:30 第一クレームのドライシール規定を外せるのならば外すこと。AMATはシールレスのため。 CN=kenichi sasabe/0U=e/0=ebara\_jp 承認 2003/07/02 23:50:33 承認します。 CN=masamichi nakashiba/0U=e/0=ebara\_jp 承認 2003/07/03 10:51:41

**▲**マカション

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Filed on: 2003/06/27

To the menu for the dept. of the inventor(s) To the menu for Patent Dept. of the Group

Confidential

To add data to the temporarily saved form or to approve/refuse the form, click the [Edit] link above.

### **Notification of Invention**

Intellectual Property Dept's receipt No.: K1030415 Date of receipt: 2003/07/03										
For the responsible	▼ For the boss of the	▼ For Patent Dept. of	<b>▼</b> Workflow information							
person in the requesting	requesting side	the Group								
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Never fail to fill ★-marked columns.

### ▼For the responsible person in the requesting side

1 [Information of the requesting side]
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Company name ★	01 Ebara Corporation	Dept.	V350 Development Department 1, Process Development Office 2				
Reference No. (Doc.No.)	Reference No. (Doc.No.) 716-L36271						
Responsible person	Company category + Employee No.: 0121155 Name: Keiichi Kurashina TEL: 8556						
Group name★	PP Precision Machine	ery					

2 [Basic information]

Domestic/foreign ★	Domestic							
IP category ★	Patent							
Title of the invention	Plating apparatus and method of substrate							
Keyword	Plating, planarity, uniformity, filling ability							
Names of related products	DMP, Impregnation plating apparatus, Bump plating apparatus							
Related job code	No. 1 78 Wire plating apparatus No. 2 Bump plating apparatus							
Job No.	L-03D51306							
Requesting dept.	Dept. name V350 Development Department 1, Process Development Office 2							
About service invention ★	1. Yes							

3 [For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

	Company	Employee No./name	Extension No./post	Dept.	Share of	Living	Representative
	,	(Company category +	No./E-mail address	code/name	the rights	in U.S.	inventor ★
į		employee No.)			(%)		
1	EK0001/	0121155	Extension No.: 9293	V350	25		Check
	Ebara	Keiichi Kurashina	Post No.: 716	Developme	•		
	Corporation		E-mail:	nt			
- 1	,		kurashina.keiichi@eba	Department		, '	,
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2	EK0001/	0120894	Extension No.: 9293	V350	25		
	Ebara	Mizuki Nagai	Post No.: 716	Developme		•	
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	Ebara	Satoru Yamamoto	Post No.: 716	Developme			*
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4	<u> </u>						Ebara								l inventors]	
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11 [Description of inve	ntion (specification draft)]							
Specification	Drawings		Othe	ers				
<b>Adaptation Condition</b>	Adaptation Conditi	on						
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Size: 196608 bite	Size: 356976 bite							
Attached by: Keiichi	Attached by: Keiich	hi	Attac	ched by:				
kurashina/e/ebara_jp	kurashina/e/ebara	_jp	Attached on:					
Attached on: 2003/06/2	27 Attached on: 2003/	/06/27						
▲ For the responsible	For the boss of the	▼For Pa		Dept. of	<b>▼</b> Workflow information			
person in the	requesting side	the Gr	oup					
requesting side	<u> </u>			·				
▼For the boss of the red	munation side							
Nature of the invention	lept. of the inventor(s)]			<b>A</b> 1				
nature of the invention	•			A. Invention for Current				
(1) Technical superiorit	V over prior ort			products/technologies 3. Considerable				
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(2) Severity of challeng	ent, cost reduction, energy	saving, etc.		4 11:				
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(4) Project for products	based on the invention (d	nuonis C.)		O. Null	22.1.1			
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(5) Importance of the in	vention to the products	THUOTI IS A OI	D.J.	4 High				
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2 WEar Datant Dant	of the Court							
3 ▼For Patent Dept. o		<del></del>			<u> </u>			

General Responsible Mr. Sakaguchi
manager: Please check the draft.

Responsible person: The construction of CL1 is disclosed in Publication 2000232078
(Toshiba), but the repetitive movement of CL2 of the impregnation element and plating surface of the substrate to touch and separate to each other is not disclosed.
Filing of this application is OK.

Attachment	
Sign of completion	Sakaguchi: Completed

▲ For the responsible	▲ For the boss of the	▲ For Patent Dept. of	Workflow information
person in the	requesting side	the Group	
requesting side		·	

### **▼**Workflow information

Current user: seimitsu zzchizai/e/ebara jp

Current approver:

Request ID NTNN-5NW6L3

### Status: completed

14 -

Requested by:	Approved by:
Keiichi kurashina/e/ebara_jp	hiroyuki kanda/e/ebara jp
	tsutomu nakada/e/ebara jp
	koji mishima/e/ebara jp
	keniichi sasabe/e/ebara jp
	masamichi nakashiba/e/ebara ip

#### ▼Approver information

15

Requested by:	Requested on:	CC mail
Keiichi kurashina/e/ebara_jp	2003/06/27	akira fukunaga/e/ebara jp
4.0		

Position of the	Name of the	Dondling of	T C4 - 4	15.	100
		Deadline of	Status	Date of	CC mail
approver	approver	the		approval	
		approval			
Boss of the	hiroyuki	2003/07/04	Approved	2003/06/30	
inventor	kanda/e/ebara jp		1		
Liaison	tsutomu	2003/07/07	Approved	2003/06/30	
	nahada/e/ebara_jp		1	,,	
					1
General	koji	2003/07/07	Approved	2002/06/20	
manager	mishima/e/ebara jp	2003/07/07	Approved	2003/06/30	hiroyuki kanda/e/ebara_jp
manager	mismina/e/ebara_jp				katsuhiko
•					tokushige/e/ebara_jp
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	·				hidekazu
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Patent Dept. of	kenichi	2003/07/07	Approved	2003/07/02	
the Group	sasabe/e/ebara jp				
General	masamichi	2003/07/09	Approved	2003/07/03	
manager of	nakashiba/e/ebara jp		,,		•
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#### **▼**Comment

CN=hiroyuki kanda/0U=e/0=ebara\_jp Approved 2003/06/30 14:10:56 nothing special.

CN=tsutomu nahada /0U=e/0=ebara\_jp Approved 2003/06/30 14:53:34 I approved

CN=koji mishima /0U=e/0=ebara\_jp Approved 2003/06/30 15:15:30 if dry seal limitation in the first claim can be dismissed, please dismiss it. AMAT is seal-less.

CN=kenichi sasabe /0U=e/0=ebara\_jp Approved 2003/07/02 23:50:33 I approved

CN=masamichi nakashiba /0U=e/0=ebara\_jp Approved 2003/07/03 10:51:41

### 発明部門メニューへ事業本部特許部メニュー

社外秘

一時保存したものに追記する場合、または、承認/否認する場合、上部の「編集」リンクをクリックしてください。 **発明等届出書** 

届出日:2003/07/15

### 知的財産部受付番号:K1030448 受付日:2003/07/18

п	依頼元担当一記入			
	【龙鹤节切业二句】	1 1997 1997 1997 1997 1997 1997 1997 19		
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	100.根儿怎当一80人	∥▼拟积儿上技一配人	▼事業本部特許部一記入	, <b>,</b> , , , , , , , , , , , , , , , , ,
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★は必須入力項目です。

### ▼依頼元担当一記入欄

### ②【依頼元情報】

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会社★	01 荏原製作所	01 荏原製作所 部門		
整理番号(Doc.No.)	716-L37152	······································		
担当者	会社区分+社員番号:0121155	氏名:	倉科 敬一	TEL: 8556
本部名★	PP 精密·電子			

### ②【基本情報】

国内/外国★	国内						
四法★	特許	特許					
発明の名称★	基板の	基板のめっき装置					
キーワード	めっき、	めっき、平坦性、均一性、埋設性					
関連する製品名	DMP.	DMP、含浸めっき、バンプめっき					
関連する業務コード	その1	7B配線めっき装置	その2	7Cバンプめっき装置			
研番	L-03D5	1306					
研番依頼元	部署名	V350二プロ開発ー					
職務発明について★	1.職務多	<b>発明である</b>					



### 【荏原製作所/荏原総合研究所/荏原電産の発明者】

	会社	社員番号/氏名 (会社区分+社員番号)	内線NO/ポストNO/E-mail	所属部門コー ド/名称		米国在 住	代表発明 者 ★
	EK0001/ 荏原製作 所	倉科 敬一	内線NO : 9293 ポストNO : 716 E-mail : kurashina.keiichi@ebara.com	V350ニプロ 開発ー	30		Check
	EK0001/ 荏原製作 所	0120894 長井 瑞樹	内線NO : 9293 ポストNO : 716 E-mail : nagai.mizuki@ebara.com	V350ニプロ 開発ー	20	•.	
16 1	EK0001/ 荏原製作 所	山本 暁	内線NO : 9293 ポストNO : 716 E−mail : yamamoto.satoru@ebara.com	V350ニプロ 開発ー	20		
4	EK0001/ 荏原製作 所	神田 裕之	内線NO : 7247 ポストNO : 716-2 E-mail : kanda.hiroyuki@ebara.com	V350ニプロ 開発ー	20		

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<b>(4)</b>	【荏原総合研究所・	存原雷産以 <sub>・</sub>	外の関連会社/	/計外の発用	<b>日去</b> 】				
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15	契約書 共同出願契約書作	<b>上</b>	<del></del>	// <del></del>	<b>)</b>				. ]
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<b>(8)</b>		調	査	実	施	状	況	1
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調査状況★	未調査	
調査内容	検索式:	
	資料:	·
競合メーカー	ノベラス、アプライドマテリアル、ニューツ	ール

### ② 【関連出願公知例】

当	社の関連出願公知例★	有
1	特願2003-15236号 または文献名:	ファイル
2	号 または文献名:	ファイル
3	号 または文献名:	ファイル
4	号 または文献名:	ファイル
5	号 または文献名:	ファイル

他	せの関連出願公知例★	無				
	号 または文献名:	ファイル				
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(特記事項) 特記事項

### () [発明等説明書(明細書素案)]

明細書	図面	その他	
<u>- 分割含浸材3714.doc</u> サイズ: 64512パイト			
添付者:keiichi kurashina/e/ebara_jp 添付日:2003/07/15	添付者: 添付日:	添付者: 添付日:	

▲ <u>依頼元担当一記入</u> 依頼元上長一記入	▼事業本部特許部一記入	▼ワークフロー情

### ▼依頼元上長一記入欄

## ② 【発明部門評価】

発明の性質	14.現左制見、世代の発明
元切りに貝	A: 現在製品・技術の発明

①先行技術に対する技術的優位性 (品質向上、コスト削減、省エネ効果等)	3. 相当優位		
②課題・手段の重要性	3. 重要		
③独創性 (発明の性質がCのときのみ必須)	0. 未評価		
④本発明が対象とする製品の開発計画 (開発、販売など) (発明の性質がA又はBのときのみ必須)	4. 開発計画の初期段階である		
⑤本発明が製品に占める重要度(割合)	3. やや大きい		
⑥依頼元総合評価	4. 最重要		
評価点	52点		
出願要否 要(理由:)	要(理由:)		
外国出願要否 要	要		
特記事項関連特許をまとめ、	関連特許をまとめ、年内海外出願が必須		

▲依頼元担当一記入 ▲依頼元上長一記入 事業本部特許部一記入

### ▼事業本部特許部一記入欄

部長記入欄	担当	坂口さん
	コメント	お願いします。非分割パッドの1件と纏めても良いと思います。
担当者記入欄コメント		本発明に関連出願である親水性パッドの発明を含めることは可能と考えま す。
	添付文書	
	作業終了サイン	坂口:終了

▲依頼元担当一記入 ▲依頼元上長一記入 ▲事業本部特許部一記入

### -クフロー情報

現在のユーザ: kenichi sasabe/e/ebara\_jp 現在の承認者;

要求 ID NTNN-5PG6JH

### ステータス: 完了

申請者	承認者
keiichi kurashina/e/ebara_jp	hiroyuki kanda/e/ebara_jp tsutomu nakada/e/ebara_jp koji mishima/e/ebara_jp kenichi sasabe/e/ebara_jp

	masamichi nakashiba/e/ebara_jp

▼ 承認者情報

**(3)** 

申請者名	申請日	CC×-ル
keiichi kurashina/e/ebara_jp	2003/07/15	akira fukunaga/e/ebara_jp

16

承認者役職	承認者名	承認期限	ステー タス	承認日	CCメール
発明者上司	hiroyuki kanda/e/ebara_jp	2003/07/22	承認	2003/07/15	
リエゾン	tsutomu nakada/e/ebara_jp	2003/07/22	承認	2003/07/15	
部長	koji mishima/e/ebara_jp	2003/07/22	承認	<b>[</b> [	hidenao suzuki/e/ebara_jp kunihito ide/e/ebara_jp kazufumi nomura/e/ebara_jp
事業部側特 許部門長	kenichi sasabe/e/ebara_jp	2003/07/22	承認	2003/07/18	·
知的財産部 部長	masamichi nakashiba/e/ebara_jp	2003/07/25	代理承 認	2003/07/18	

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CN=hiroyuki kanda/0U=e/0=ebara\_jp 承認 2003/07/15 13:59:21 特になし CN=tsutomu nakada/OU=e/0=ebara\_jp 承認 2003/07/15 14:57:15 承認いたしました。 CN=koji mishima/OU=e/O=ebara\_jp 2003/07/15 15:32:11 第一クレームがface-downも含むように 承認 留意。アノードの記載内容が含浸face-upを限定している。 CN=kenichi sasabe/OU=e/O=ebara\_jp 承認 2003/07/18 15:19:30 承認します。 32 中柴Bの委任により宮崎代 CN=masaaki miyazaki/OU=e/0=ebara jp 代理承認 2003/07/18 17:12:32 理受入2003.7.18

◆アクション

To the menu for the dept. of the inventor(s) To the menu for Patent Dept. of the Group

Confidential

To add data to the temporarily saved form or to approve/refuse the form, click the [Edit] link above.

#### **Notification of Invention**

Filed on: 2003/07/15

Intellectual Property Dept's receipt No.: K1030448 Date of receipt: 2003/07/18

For the responsible	▼ For the boss of the	▼ For Patent Dept. of	<b>▼</b> Workflow information
person in the requesting	requesting side	the Group	
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Never fail to fill ★-marked columns.

#### ▼For the responsible person in the requesting side

1 [Information of the requesting side]

Company name +	01	Dept.	V350 Development Department 1, Process
Company name 🖈	1	Debt.	•
	Ebara Corporation	i	Development Office 2
Reference No. (Doc.No.)	716-L37152		
Responsible person	Company category	- Employ	yee No.: 0121155
	Name: Keiichi Kuras	hina T	EL: 8556
Group name★	PP Precision Machine	ery	

2 [Basic information]

Domestic/foreign ★	Domestic					
IP category ★	Patent					
Title of the invention	Plating apparatus of substrate					
Keyword	Plating, planarity, uniformity, filling ability					
Names of related products	DMP, Impregnation plating apparatus, Bump plating apparatus					
Related job code	No. 1 7B Wire plating apparatus No. 2 Bump plating apparatus					
Job No.	L-03D51306					
Requesting dept.	Dept. name V350 Development Department 1, Process Development Office 2					
About service invention ★	1. Yes					

3 [For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

	Company	Employee No./name (Company category + employee No.)	Extension No./post No./E-mail address	Dept. code/name	Share of the rights (%)	Living in U.S.	Representative inventor
1	EK0001/	0121155	Extension No.: 9293	V350	30		Check
	Ebara	Keiichi Kurashina	Post No.: 716	Developme	<b>.</b> .		'
٠.	Corporation		E-mail:	nt			
	1		kurashina.keiichi@eba	Department	]		
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2	EK0001/	0120894	Extension No.: 9293	V350	20		•
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•	Corporation		E-mail:	nt			•
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	Ebara	Hiroyuki Kanda	Post No.: 716-2	Developme			•
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Others':   No. or document title:  No. or document title:  No. or document title:  No. or document title:  No. or document title:  No. or document title:  No. or document title:  IDescription of invention (specification draft)]  Special note  In [Description of invention (specification draft)]  Specification Drawings Others  Segmented impregnation element 3714. doc Size: 64512 bite  Attached by: Keiichi kurashina/e/ebara_jp Attached by: Attached on: 2003/07/15  Aftached on: 2003/07/15  For the responsible For the boss of the For Patent Dept. of Workflow infor	
1 No. or document title: 2 No. or document title: 3 No. or document title: 4 No. or document title: 5 No. or document title: 5 No. or document title: 10 [Special note] Special note 11 [Description of invention (specification draft)] Specification Drawings Others Segmented impregnation element 3714.doc Size: 64512 bite Attached by: Keiichi kurashina/e/ebara_jp Attached on: Attached on: 2003/07/15  A For the responsible For the boss of the ▼For Patent Dept. of ▼Workflow infor	
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2 [Evaluation by the dept. of the inventor(s)]  Nature of the invention  A Invention for Current	
Nature of the invention  A. Invention for Current products/technologies	
(1) Technical superiority over prior art  3. Considerable	
(Quality improvement, cost reduction, energy saving, etc.)	
(2) Severity of challenge/means 3. High	<del></del>
(3) Originality (Enter data if the nature of the invention is C.)  0. Null	
(4) Project for products based on the invention (development,	•
sales, etc) (Enter data if the nature of the invention is A or B.)  (5) Importance of the invention to the products  3. A little high	
(0) 0 11: 1	
(6) Overall judgment by the requesting side 4. Most Important Sating of evaluation 52 points	
Filing of the patent application is:  Required (reason: )	
Foreign filing of the patent application is:  Required	
Special note Combining related application	<del></del>
file foreign application in this	ns and
	ns and year
▲ For the responsible	year
person in the requesting side Group requesting side	year
requesting side	year
	year

13 ▼For Patent Dept. of the Group

General Responsible Mr. Sakaguchi
manager: Please check the draft. It may be possible to combine with a non segmented pad.

Responsible person:	Comment	It seems to be possible to combine with the hydrophilic pad application, which is related to this application.
	Attachment	·
	Sign of completion	Sakaguchi: Completed

	▲ For the responsible	▲ For the boss of the	▲ For Patent Dept. of	Workflow information
1	person in the	requesting side	the Group	
-	requesting side			

#### **▼**Workflow information

Current user: seimitsu zzchizai/e/ebara\_jp

Current approver:

Request ID NTNN-5PG6JH

Status: completed

14

Requested by:	Approved by:
Keiichi kurashina/e/ebara_jp	hiroyuki kanda/e/ebara jp
	tsutomu nakada/e/ebara jp
	koji mishima/e/ebara_jp
	keniichi sasabe/e/ebara_jp
	masamichi nakashiba/e/ebara jp

#### **▼**Approver information

15

Requested by:	Requested on:	CC mail	•
Keiichi kurashina/e/ebara_jp	2003/07/15	akira fukunaga/e/ebara jp	
16	•		

Position of the approver	Name of the approver	Deadline of the approval	Status	Date of approval	CC mail
Boss of the inventor	hiroyuki kanda/e/ebara jp	2003/07/22	Approved	2003/07/15	
Liaison	tsutomu nahada/e/ebara_jp	2003/07/22	Approved	2003/07/15	
General manager	koji mishima/e/ebara_jp	2003/07/22	Approved	2003/07/15	hidenao suzuki/e/ebara_jp kunihito ide/e/ebara_jp kazufumi nomura/e/ebara_jp
Patent Dept. of the Group	kenichi sasabe/e/ebara jp	2003/07/22	Approved	2003/07/18	
General manager of Intellectual Property Dept.	masamichi nakashiba/e/ebara_jp	2003/07/25	Approved by a proxy	2003/07/18	

#### **▼**Comment

CN=hiroyuki kanda/0U=e/0=ebara\_jp Approved 2003/07/15 13:59:21 nothing special. CN=tsutomu nahada /0U=e/0=ebara\_jp Approved 2003/07/15 14:57:15 I approve CN=koji mishima /0U=e/0=ebara\_jp Approved 2003/07/15 15:32:11 pay attention so that the first claim include the face-down. The description of the anode limits to the face-up impregnation. CN=kenichi sasabe /0U=e/0=ebara\_jp Approved 2003/07/18 15:19:30 I approve CN=masamichi nakashiba /0U=e/0=ebara\_jp Approved 2003/07/18 17:12:32 Miyazaki, or his proxy, approves the request. 2003.7.18

### 発明部門メニューへ事業本部特許部メニュー

社外秘

ー時保存したものに追記する場合、または、承認/否認する場合、上部の「編集」リンクをクリックしてください。 **発明等届出書** 

届出日:2003/07/03

知的財産部受付番号:K1030456 受付日:2003/07/24

依頼元担当一記入 ▼依頼元上長一記入 ▼事業本部特許部一記入 ▼ワークフロー情

★は必須入力項目です。

### ▼依頼元担当一記入欄



### ∅ 【依頼元情報】

会社★	01 荏原製作所	部門	∨350ニプロ	□開発一	
整理番号(Doc.No.)	716-E37031				
担当者	会社区分十社員番号:0120894	氏名:县	長井 瑞樹	TEL: 9293	
本部名★	PP 精密·電子		· ·		

②【基本情報】

国内/外国★	国内					
四法★	特許			·		
発明の名称★	めっきた	めっき方法及びめっき装置				
キーワード	半導体	半導体基板、めっき、銅、多孔質材料、電解めっき				
関連する製品名	DMP.	DMP、含浸めっき				
関連する業務コード	その1	78配線めっき装置	その2	•		
研番	L-03D5	1306				
研番依頼元	部署名	]				
職務発明について★	1.職務争	き明である				



### ②【荏原製作所/荏原総合研究所/荏原電産の発明者】

	会社	社員番号/氏 名 (会社区分+社 員番号)	内線NO/ポストNO/E-mail		持分 (%)	米国在 住	代表発明 者 ★
1	EK0001/ 荏原製作 所	0120894 長井 瑞樹	内線NO : 9293 ポストNO : 716 E-mail : nagai.mizuki@ebara.com	V350二プロ 開発ー	70		Check
2	EK0001/ 荏原製作 所	0121559 神田 裕之	内線NO : 7247 ポストNO : 716−2 E−mail : kanda.hiroyuki@ebara.com	V350ニプロ 開発ー	10		
3	EK0001/ 在原製作 所	0121155 倉科 敬一	内線NO : 8556 ポストNO : 716 E-mail : kurashina.keiichi@ebara.com	V350ニプロ 開発ー	10	.•	
4	EK0001/ 荏原製作 所	0121630 山本 暁	内線NO : 9293 ポストNO : 716 E-mail : yamamoto.satoru@ebara.com	V350ニプロ 開発ー	10		

	<u> </u>		<u>-</u>			
【荏原総合研究所・	荏原電産じ	し外の関連会社	/社外の発明者	· .	•	
会社コード/ネ		氏名	TEL/E-ma		所属部門または住 所	米国在住
1 EK0049荏原: ージライト	1	君塚 亮-	TEL:81-38! E-mail:eu- ryo.kimizuka		中央研究所	
該当無しおよび予	定発明者		]	emry.ne.jp		
		•	<u> </u>	· · · · · · · · · · · · · · · · · · ·		
【出願人】						
コード/名称(	略称)	住所連絡先な	<u>پ</u>		権利持 費用	負 手続担
					分(%) 担(%)	⇒
1 EK0001		本社住所:			E E	担当
荏原製作所		連絡先住所:司部署: 担当:				
		TEL: FAX: E-MAIL:			·	
<u>し」し</u> 該当無しおよび予り	と出願人					
				<del></del>		· · · · · · · · · · · · · · · · · · ·
【出願緩急】	•					•
出願緩急	至急	出願希望日	2003/07/25	 j		<del> </del>
		理由	その他	,	発表先:	
			<b> </b>   '		発表日: その他:本開発テーマの	基本特許の-
					つ。競合メーカーも同様技術 っている可能性大。	所の開発を行
【契約関係】		,				<del></del>
契約書有無★	無		種類			
		·	その他			•
相手先	1					
,	2					
	4					
	5		1			
,	その他		- <b>-</b> -			
	( 4 ) 10					•
契約書		<u></u>				
契約書 共同出願契約書作 成★		<u> </u>	作成担当	_ <del>`</del>	: 	
共同出願契約書作		<u>j</u>	相手先	の他		
共同出願契約書作 成★		j	相手先	の他		
共同出願契約書作		j	相手先	の他		

調査状況★	調査済	
調査内容	機械検索	検索式:めっき×(研磨+化学機械研磨+化学的機械研磨+電解研磨) ×銅×平坦化
		資料:
競合メーカー	ノベラス、セミ	ソール、AMAT、Nutool、ACMリサーチ

## ② 【関連出願公知例】

当	社の関連出願公知例★	有
	特願2003-15236号 または文献名:	ファイル
2	号 または文献名:	ファイル
3	号 または文献名:	ファイル
4	号 または文献名:	ファイル
5	号 または文献名:	ファイル

他	せの関連出願公知例★	有			
1	特願平11-33234号 または文献名:	ファイル			,
2	号 または文献名:	ファイル			
3	号 または文献名:	ファイル			
4	号 または文献名:	ファイル			
5	号 または文献名:	ファイル			

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特記事項

# (分型) 【発明等説明書(明細書素案)】

明細書	図面	その他
- 特許説明書(平坦化PO).doc サイズ: 48640バイト		
添付者:mizuki nagai/e/ebara_jp 添付日:2003/07/03	添付者: 添付日:	添付者: 添付日:

	▼事業本部特許部一記入	
		▼ワークフロー特

# ② ▼依頼元上長一記入欄

【発明部門評価】

発明の性質		A: 現在製品・技術の発明		
①先行技術に対する技術的優位性 (品質向上、コスト削減、省エネ効果等)		2. 若干優位		
②課題・手段の重要性	ŧ	3. 重要		
③独創性 (発明の性質がCのとき	きのみ必須)	0. 未評価		
④本発明が対象とする製品の開発計画 (開発、販売など) (発明の性質がA又はBのときのみ必須)		4. 開発計画の初期段階である		
⑤本発明が製品に占める重要度(割合)		3. やや大きい		
⑥依頼元総合評価		3. 重要		
評価点		36点		
出願要否	出願要否 要(理由:)			
外国出願要否要				
特記事項				



### ▲依頼元担当一記入 ▲依頼元上長一記入 事業本部特許部一記入 ▼ワークフロー情

### ②▼事業本部特許部一記入欄

部長記入欄	担当	坂口さん
	コメント	チェックして下さい。
担当者記入欄	コメント	出願要と判断いたします。なお、めっき液については、当社出願である公知例 (特開2000-345392)があります。
·	添付文書	
	作業終了サイン	坂口:終了

ı	▲依頼元担当一記入	▲依頼元上長一記入	▲事業本部特許部一記入	ワークフロー情
1			THE PERSON NAMED AND A STREET	113



### ▼ワークフロー情報

現在のユーザ: kenichi sasabe/e/ebara\_jp

現在の承認者:

要求 ID NTNN-5P49LK

### ステータス: 完了



(4

申請者	承認者
mizuki nagai/e/ebara_jp	hiroyuki kanda/e/ebara_jp tsutomu nakada/e/ebara_jp koji mishima/e/ebara_jp

ichi abe/e/ebara_jp amichi ashiba/e/ebara_jp

承認者情報

申請者名	申請日	CCメール		
mizuki nagai/e/ebara_jp	2003/07/03	akira fukunaga/e <u>/</u> ebara_jp		

**(** 

기_			•			·
	承認者役職	承認者名	承認期限	ステー タス	承認日	CCメール
	発明者上司	hiroyuki kanda/e/ebara_jp	2003/07/10	承認	2003/07/03	
	リェリン	tsutomu nakada/e/ebara_jp	2003/07/10	承認	2003/07/07	
	部長	koji mishima/e/ebara_jp	2003/07/14	承認		hidenao suzuki/e/ebara_jp kunihito ide/e/ebara_jp kazufumi nomura/e/ebara_jp
	事業部側特 許部門長	kenichi sasabe/e/ebara_jp	2003/07/15	承認	2003/07/23	
	知的財産部 部長	masamichi nakashiba/e/ebara_jp	2003/07/30	代理承 認	2003/07/24	

#### **▽**コメント

CN=hiroyuki kanda/OU=e/0=ebara\_jp 2003/07/03 17:08:33 否認 山本君の社員番号が違っていた CN=hiroyuki kanda/OU=e/0=ebara\_jp 承認 2003/07/03 17:20:29

CN=tsutomu nakada/0U=e/0=ebara\_jp 承認 2003/07/07 10:32:42 承認します

CN=koji mishima/OU=e/O=ebara\_jp 承認 2003/07 で、組み替えが必要であり、知財部殿にご指導願いたい 2003/07/08 15:25:54 クレーム前半は既出願と同様なの

CN=kenichi sasabe/OU=e/O=ebara\_jp 2003/07/23 18:13:13 承認 承認します。

CN=masaaki miyazaki/OU=e/0=ebara\_jp 代理承認 2003/07/24 14:04:43 中柴B不在のため宮崎代理

受入2003.7.24

アクション

To the menu for the dept. of the inventor(s) To the menu for Patent Dept. of the Group

Confidential

To add data to the temporarily saved form or to approve/refuse the form, click the [Edit] link above.

### **Notification of Invention**

Filed on: 2003/07/03

Intellectual Property Dept's receipt No.: K1030456 Date of receipt: 2003/07/24

For the responsible	▼ For the boss of the	▼ For Patent Dept. of	<b>▼</b> Workflow information
person in the requesting	requesting side	the Group	
side			-

Never fail to fill ★-marked columns.

### ▼For the responsible person in the requesting side

1 [Information of the requesting side]

Company name ★	01	Dept.	V350 Development Department 1, Process
	Ebara Corporation	'	Development Office 2
Reference No. (Doc.No.)	716-L37031		
Responsible person	Company category - Name: Mizuki Nagai		
Group name★	PP Precision Machine	ery	

2 [Basic information]

Domestic/foreign ★	Domestic		
IP category ★	Patent		
Title of the invention	Plating method and plating apparatus		
Keyword	Semiconductor substrate, plating, copper, porous material, electrolytic plating		
Names of related products	DMP, Impregnation plating apparatus		
Related job code	No. 1 7B Wire plating apparatus No. 2		
Job No.	L-03D51306		
Requesting dept.	Dept. name		
About service invention *	1. Yes		

[For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

	Company	Employee No./name (Company category + employee No.)	Extension No./post No./E-mail address	Dept. code/name	Share of the rights (%)	Living in U.S.	Representative inventor ★
1	EK0001/	0120894	Extension No.: 9293	V350	30		Check
1	Ebara	Mizuki Nagai	Post No.: 716	Developme			
	Corporation		E-mail:	nt			
- 1	-		nagai.mizuki@ebara.c	Department			:
- 1			om	1, Process			
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2	EK0001/	0121559	Extension No.: 7247	V350	20		•
- 1	Ebara	Hiroyuki Kanda	Post No.: 716-2	Developme			
	Corporation		E-mail:	nt			
			kanda.hiroyuki@ebara	Department	ł		•
ı			.com	1, Process			
-	· ·			Developme			
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3	EK0001/	0121155	Extension No.: 9293	V350	20		
	Ebara	Keiichi Kurashina	Post No.: 716	Developme			
	Corporation		E-mail:	nt			
- 1	,		kurashina.keiichi@eba	Department	i		
			ra.com	1, Process			•
	j			Developme			•
_				nt Office 2			
4	EK0001/	0121630	Extension No.: 9293	V350	20		
.	Ebara	Satoru Yamamoto	Post No.: 716	Developme			
	Corporation	•	E-mail:	nt			
- 1			yamamoto.satoru@eb	Department			
		•	ara.com	1, Process			•
: J				Developme			
			<u> </u>	nt Office 2			
N/A	and potential in	ventor(s)					

4 [For inventors	in affiliate	s other than	Ebara	Rese	earch/Ebara	a De	ensan I	_td and	extern	al in	vento	orsì
Company co		Name	-		/E-mail			contact			Livin	
1 EK0049 Ebara-Udylit Ltd.	e Co.	Ryoichi Kim	E- eu		FEL: 81-3855 E-mail: eu-ryo.kimizuka @nifty.ne.jp		Research & Development Center			<u> </u>		
N/A and potentia	al inventor	(s)								· · · · · · · · · · · · · · · · · · ·		
5 [Applicant]												
Code/name	Conta	act address,	etc.	•	Share of t	he r	ights	Share	of the	P	roseci	ution
(abbreviation)					(%)			costs	(%)		<i>ı</i> : ★	
EK0001 Ebara Corporation	on Conta Dept. TEL: E-ma	FAX: il:	₹		E		·	E			espor erson	nsible
N/A and potentia	<u>ll inventor</u>	(s)								•		•
6 [Urgency of a	oplication 1	iling]							•			
	rgent P	referred data	a of filin	g	2003/07/25	5						
	R	eason			Outside presentation	on	Released Other for the comp	ased to: ased on This is is devel etitors i ilar tech	: s one o lopmen are pos	t the	eme. (	
7 [Related contr	actl											· ·
Written contract			N/A		·		Туре			-		
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8 [Prior-art searc								<del></del> :		.,,,,,,		
Prior-art search		Done	<del></del> .					<del></del>	`			
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Competitor		Novellus,	Semito	ol, A	pplied Mate	erial	s, Nuto	ol, ACI	M resea	arch	-	
P [Related applic	ation and	prior artl		<del></del>								
Ours: ★					·	N/A	A	٠				
	cation No.	2003-15236				File	е					
2 No.						File	e		٠			
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Others': ★	· <del></del> · · · · · ·				IN	/A		
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11 [Description	on of inven	tion (specific	cation draft)]					
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▲ For the resp			boss of the	▼For Pat		Dept. of	<b>▼</b> Workflow information	
person in the requesting :		reque	sting side	the Gro	up			
requesting .	side	<u> </u>	· · · · · · · · · · · · · · · · · · ·	<u> </u>			·	
▼For the boss	of the real	estina sida	-					
12 [Evaluation			(enter(e)]			•		
Nature of the i	invention	pt. or the line	rentor(s)			A Inventio	on for Current	
						1	echnologies	
(1) Technical	superiority	over prior a	nt			2. A little	sciniologies	
			ction, energy s	aving, etc.)		2.71.11.0		
(2) Severity of	f challenge	/means		<u> </u>		3. High		
			e of the invent	tion is C.)	· ·	0. Null		
(4) Project for	products b	ased on the	invention (dev	velopment,		4. In the initial stage		
sales, etc)	(Enter data	a if the natu	re of the invent	tion is A or l	B.)			
(5) Importance						3. A little h	igh	
(6) Overall jud		he requesti	ng side			3. Importar		
Rating of evalu						36 points		
Filing of the pa						Required (	reason: )	
Foreign filing of	of the pater	t application	ı is:			Required		
Special note								
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3 ▼For Pate			<u> </u>					
General	Respons		Mr. Sakaguchi					
manager:	Commen	t	Please check					
Responsible	Commen	t	I judge it to b	e filed. Reg	ardi	ng the platir	ng solution, our	
person:		·	application (a					
	Attachme							
	Sign of completion Sakaguchi: Completed							

Sakaguchi: Completed

▲ For the responsible person in the requesting side  ▲ For the boss of the requesting side	▲ For Patent Dept. of the Group	Workflow information
--	---------------------------------	----------------------

### **▼**Workflow information

Current user: seimitsu zzchizai/e/ebara\_jp

Current approver:

Request ID NTNN-5P49LK

Status: completed

14

Requested by:	Approved by:
mizuki nagai/e/ebara_jp	hiroyuki kanda/e/ebara_jp tsutomu nakada/e/ebara_jp koji mishima/e/ebara_jp keniichi sasabe/e/ebara_jp
	masamichi nakashiba/e/ebara jp

### ▼Approver information

15

Requested by:	Requested on:	CC mail
mizuki nagai/e/ebara_jp	2003/07/15	akira fukunaga/e/ebara jp

Position of the approver	Name of the approver	Deadline of the approval	Status	Date of approval	CC mail
Boss of the inventor	hiroyuki kanda/e/ebara jp	2003/07/10	Approved	2003/07/03	
Liaison	tsutomu nahada/e/ebara_jp	2003/07/10	Approved	2003/07/03	
General manager	koji mishima/e/ebara_jp	2003/07/14	Approved	2003/07/08	hidenao suzuki/e/ebara_jp kunihito ide/e/ebara_jp kazufumi nomura/e/ebara_jp
Patent Dept. of the Group	kenichi sasabe/e/ebara jp	2003/07/15	Approved	2003/07/23	уюнанд сусына јр
General manager of Intellectual Property Dept.	masamichi nakashiba/e/ebara_jp	2003/07/30	Approved by a proxy	2003/07/24	

### **▼**Comment

CN=hiroyuki kanda/0U=e/0=ebara\_jp Rejected 2003/07/03 17:08:33 Yamamoo's employee number is wrong.

CN=hiroyuki kanda/0U=e/0=ebara\_jp Approved 2003/07/03 17:20:29

CN=tsutomu nahada /0U=e/0=ebara\_jp Approved 2003/07/07 10:32:42 | approve

CN=koji mishima /0U=e/0=ebara\_jp Approved 2003/07/08 15:25:54 front half of the claim is similar

to the previously filed application. IP department please lead us for the re-arrangement. CN=kenichi sasabe /0U=e/0=ebara\_jp Approved 2003/07/23 18:13:13 | approve

CN=masaaki miyazaki /0U=e/0=ebara\_jp Approved 2003/07/24 14:04:43 As Mr. Nakashiba is out of the office, Miyazaki, or his proxy, approves the request. 2003.7.24

### 発明部門メニューへ事業本部特許部メニュー

社外秘

ー時保存したものに追記する場合、または、承認/否認する場合、上部の「編集」リンクをクリックしてください。 **発明等届出書** 

届出日:2003/07/16

### 知的財産部受付番号:K1030466 受付日:2003/07/24

依頼元担当一記入 ▼依頼元上長一記入 ▼事業本部特許部一記入 ▼ワークフロー情

★は必須入力項目です。

### ▼依頼元担当一記入欄



### (7) 【依頼元情報】



会社★	01 荏原製作所	部門	】∇350ニプロ	開発一	
整理番号(Doc.No.)	716-L37161				
担当者	会社区分+社員番号:0121155	氏名	倉科 敬一	TEL: 8556	
本部名★	PP 精密·電子				

### ②【基本情報】

Les Tilates	
国内/外国★	国内
四法★	特許
発明の名称★	基板のめっき装置およびめっき方法
キーワード	めっき、平坦性、均一性、埋設性
関連する製品名	DMP、含浸めっき、バンプめっき
関連する業務コード	その1 7B配線めっき装置 その2 7Cバンプめっき装置
研番	L-03D51306
研番依頼元	部署名 V350二プロ開発一
職務発明について★	1.職務発明である



## ③【荏原製作所/荏原総合研究所/荏原電産の発明者】

		社員番号/氏名 (会社区分+社員番号)		所属部門コー ド/名称	持分 (%)	米国在 住	代表発明 者 ★
1	EK0001/ 荏原製作 所	0121155 倉科 敬一	内線NO : 9293 ポストNO : 716 E-mail : kurashina.keiichi@ebara.com	V350二プロ 開発ー	60		Check
2	EK0001/ 荏原製作 所		内線NO : 9293 ポストNO : 716 E-mail : nagai.mizuki@ebara.com	V350ニプロ 開発ー	10		,
** *	EK0001/ 荏原製作 所	山本 暁	内線NO : 9293 ポストNO : 716 E-mail : yamamoto.satoru@ebara.com	V350ニプロ 開発ー	10		. `
	EK0001/ 荏原製作 所		内線NO: 7247 ポストNO: 716–2 E-mail: kanda.hiroyuki@ebara.com	V350ニプロ 開発ー	10		

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<b>⊕</b>	【荏原総合研究所・社会社コード/名		氏名	[/ <del>[</del> ]	がの発明 TEL/E			际层	女 88 士	t_1+1	- 교 기소	国在住
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調査状況★	未調査			
調査内容		検索式:		
		資料:		
競合メーカー	ノベラス、アプラ	ライドマテリアル、ニュ	ーツール	

## ②【関連出願公知例】

当	社の関連出願公知例★	有
1	特願2003-15236号 または文献名:	ファイル
2	号 または文献名:	ファイル
3	号 または文献名:	ファイル
4	号 または文献名:	ファイル
5	号 または文献名:	ファイル

他	せの関連出願公知例★	無			
1	号 または文献名:	ファイル			
2	号 または文献名 :	ファイル		,	
3	号 または文献名:	ファイル			
4	<del>号</del> または文献名 :	ファイル	,		
5	号 または文献名:	ファイル			·

(特記事項) 特記事項

## **②** 【発明等説明書(明細書素案)】

明細書	図面	その他
_ エンド ポイント3714.doc サイズ : 73216パイト		
添付者:keiichi kurashina/e/ebara_jp 添付日:2003/07/16	添付者: 添付日:	添付者: 添付日:

▲依頼元担当一記入 依頼元上長一記入 ▼事業本部特許部-

# ▼依頼元上長-記入欄

## ② 【発明部門評価】

発明の性質	A:現在製品・技術の発明	<del></del>	· ·	

①先行技術に対する技術的優位性 (品質向上、コスト削減、省エネ効果等)	3. 相当優位				
②課題・手段の重要性	3. 重要				
③独創性 (発明の性質がCのときのみ必須)	0. 未評価				
④本発明が対象とする製品の開発計画 (開発、販売など) (発明の性質がA又はBのときのみ必須)	4. 開発計画の初期段階である				
⑤本発明が製品に占める重要度(割合)	4. 大きい				
⑥依頼元総合評価	4. 最重要				
評価点	56点				
出願要否 要(理由:)					
外国出願要否要	要				
特記事項関連特許をまとめ、	関連特許をまとめ、年内海外特許出願は必須				

▲依頼元担当-記入 ▲依頼元上長-記入 事業本部特許部-記入 ▼ワークフロー情

### ∕❷▼事業本部特許部一記入欄

部長記入欄	担当	坂口さん
	コメント	お願いします。
担当者記入欄	コメント	出願要と判断いたします。
	添付文書	
	作業終了サイン	坂口:終了

▲依頼元担当-記入 ▲依頼元上長-記入 ▲事業本部特許部-記入 ワークフロー情

## ▼ワークフロー情報

1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2/2014 1/2

現在のユーザ: kenichi sasabe/e/ebara\_jp

現在の承認者:

要求 ID NTNN-5PH77U

### ステータス: 完了



nakashiba/e/ebara\_jp

承認者情報

(3)

	···	
申請者名	申請日	CCメール
keiichi kurashina/e/ebara_jp	2003/07/16	akira fukunaga/e/ebara_jp

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		·			<u> </u>
承認者役職	承認者名	承認期限	ステー タス	承認日	CCメール
発明者上司	hiroyuki kanda/e/ebara_jp	2003/07/23	承認	2003/07/16	
リエソン	tsutomu nakada/e/ebara_jp	2003/07/23	承認	2003/07/17	
部長	koji mishima/e/ebara_jp	2003/07/24	承認		hidenao suzuki/e/ebara_jp kunihito ide/e/ebara_jp kazufumi nomura/e/ebara_jp
事業部側特 許部門長	kenichi sasabe/e/ebara_jp	2003/07/25	承認	2003/07/23	
知的財産部 部長	masamichi nakashiba/e/ebara_jp	2003/07/30	代理承 認	2003/07/24	

### **▽**コメント

CN=hiroyuki kanda/0U=e/0=ebara\_jp CN=niroyuki kanda/00=e/0=ebara\_jp CN=tsutomu nakada/00=e/0=ebara\_jp CN=koji mishima/00=e/0=ebara\_jp しない)のも包含するクレームに修正のこと CN=kenichi sasabe/00=e/0=ebara\_jp CN=masaaki miyazaki/00=e/0=ebara\_jp

2003/07/17 17:42:05 承認 承認 2003/07/18 08:20:56

承認

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第一クレーム、face-down(アノードは移動

承認します。 58 中柴B不在のため宮崎代理 承認 2003/07/23 18:15:31

代理承認 2003/07/24 14:08:58

2003/07/16 14:24:57

受入2003.7.24

To the menu for the dept. of the inventor(s) To the menu for Patent Dept. of the Group

Confidential

To add data to the temporarily saved form or to approve/refuse the form, click the [Edit] link above.

### Notification of Invention

Filed on: 2003/07/16

Intellectual Property Dept's receipt No.: K1030466 Date of receipt: 2003/07/24

For the responsible	▼ For the boss of the	▼ For Patent Dept. of	<b>▼</b> Workflow information
person in the requesting	requesting side	the Group	
side	·	·	

Never fail to fill ★-marked columns.

### ▼For the responsible person in the requesting side

1 [Information of the requesting side]

Company name ★	01 Ebara Corporation	Dept.	V350 Development Department 1, Process Development Office 2				
Reference No. (Doc.No.)	716-L37161						
Responsible person	Company category + Employee No.: 0121155 Name: Keiichi Kurashina TEL: 8556						
Group name★	PP Precision Machine	ery	·				

2 [Basic information]

Domestic/foreign ★	Domestic					
IP category ★	Patent					
Title of the invention	Plating apparatus and method of substrate					
Keyword	Plating, planarity, uniformity, filling ability					
Names of related products	DMP, Impregnation plating apparatus, Bump plating apparatus					
Related job code	No. 1 7B Wire plating apparatus No. 2 7C Bump plating apparatus					
Job No.	L-03D51306					
Requesting dept.	Dept. name V350 Development Department 1, Process Development Office 2					
About service invention ★	1. Yes					

3 [For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

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Special not		· application to.		·	· · ·		related applications and	
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	or the responsible					Group		

requesting side

13 ▼For Patent Dept. of the Group

General	Responsible	Mr. Sakaguchi
manager:	Comment	Please check the draft.
Responsible	Comment	Filing of this invention is necessary.
person:	Attachment	
	Sign of completion	Sakaguchi: Completed

▲ For the responsible	▲ For the boss of the	▲ For Patent Dept. of	Workflow information
person in the	requesting side	the Group	]
requesting side		·	

### **▼**Workflow information

Current user: kenichi sasabe/e/ebara jp

Current approver:

Request ID NTNN-5PH77U

### Status: completed

14

Requested by:	Approved by:
keiichi kurashina/e/ebara_jp	hiroyuki kanda/e/ebara_jp tsutomu nakada/e/ebara_jp koji mishima/e/ebara_jp keniichi sasabe/e/ebara_jp masamichi nakashiba/e/ebara_jp

### **▼**Approver information

15

Requested by:	Requested on:	CC mail
keiichi kurashina/e/ebara jp	2003/07/16	akira fukunaga/e/ebara jp
16		

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Position of the	Name of the	Deadline of	Status	Date of	CC mail
approver	approver	the approval		approval	<u></u>
Boss of the	hiroyuki	2003/07/23	Approved	2003/07/16	
inventor	kanda/e/ebara_jp				ļ
Liaison	tsutomu	2003/07/23	Approved	2003/07/17	·
	nahada/e/ebara_jp				
General	koji	2003/07/24	Approved	2003/07/18	hidenao
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Patent Dept. of	kenichi	2003/07/25	Approved	2003/07/23	
the Group	sasabe/e/ebara_jp				
General	masamichi	2003/07/30	Approved	2003/07/24	
manager of	nakashiba/e/ebara_jp		by a proxy		
Intellectual					
Property Dept.					· .

### **▼**Comment

CN=hiroyuki kanda/0U=e/0=ebara\_jp Approved 2003/07/16 14:24:57 nothing special.

CN=tsutomu nakada /0U=e/0=ebara\_jp Approved 2003/07/17 17:42:05 l approve.

CN=koji mishima /0U=e/0=ebara\_jp Approved 2003/07/18 08:20:56 Modify the first claim to include face-down (anode does not move).

CN=kenichi sasabe /0U=e/0=ebara\_jp Approved 2003/07/23 18:15:31 I approve.

CN=masaaki miyazaki/0U=e/0=ebara\_jp Approved by a proxy 2003/07/24 14:08:58 Mr. Nakashiba is out of office; so Miyazaki, or his proxy, approves the request. 2003.7.24

発明部門メニューへ事業本部特許部メニュー

社外秘

ー時保存したものに追記する場合、または、承認/否認する場合、上部の「編集」リンクをクリックしてください。 **発明等届出書** 

届出日:2003/12/26

知的財産部受付番号:K1040012 受付日:2004/01/13

依頼元担当一記入 ▼依頼元上長一記入 ▼事業本部特許部一記入 ▼ワークフロー情

★は必須入力項目です。

## ▼依頼元担当一記入欄



### ②【依頼元情報】



会社★	01 荏原製作所	部門	V350二プロ開発ー		
整理番号(Doc.No.)		·			
担当者	会社区分+社員番号:0121559	氏名:	神田 裕之	TEL:7247	
本部名★	PP 精密·電子				

### ② 【基本情報】

国内
特許
基板のめっき装置およびその方法
その1 その2
L-
部署名
1.職務発明である



## ③ 【荏原製作所/荏原総合研究所/荏原電産の発明者】

	会社	社員番号/氏 名 (会社区分+社 員番号)	内線NO/ポストNO/E-mail	II	持分 (%)	米国在 住	代表発明 者 ★
1	EK0001/ 荏原製作 所	0121559 神田 裕之	内線NO : 7247 ポストNO : 716−3 E−mail : kanda.hiroyuki@ebara.com	V350ニプロ 開発ー	20		Check
2	EK0001/ 荏原製作 所	0113010 三島 浩二	内線NO : 9427 ポストNO : 716 E-mail : mishima.koji@ebara.com	V350ニプロ 開発ー	20		
13. 1	EK0001/ 荏原製作 所	0120308 森澤 伸哉	内線NO : 9088 ポストNO : 717 E-mail : morisawa.shinya@ebara.com	V510ープロ 開発ー	20		
	EK0001/ 荏原製作 所	0121105 國澤 淳次	内線NO : 9488 ポストNO : 718 E−mail : kunisawa.junji@ebara.com	V370二プロ 設計課	20		

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		121368	内線NO:9025				プロ   10	1	
		井出 邦仁	ポストNO:716			開発一	•		
	所		E-mail:ide.kun	inito@ebara	i.com	┥ <u>┝</u>		_	
		107426 計本 秀直	内線NO:9025 ポストNO:716-	-3		V350二 開発一			
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<b>G</b>	【出願人】								
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調査状況★	未調査		
調査内容		検索式:	
		資料:	
競合メーカー			

## ②【関連出願公知例】

当	社の関連出願公知例★	有
1	特開2002-129383号 または文献名:	ファイル
2	号 または文献名:	ファイル
	号 または文献名:	ファイル
4	号 または文献名 :	ファイル
11 -	号 または文献名:	ファイル

他	社の関連出願公知例★	無
	号 または文献名:	ファイル
2	号 または文献名:	ファイル
3	号 または文献名:	ファイル
4	号 または文献名:	ファイル
5	号 または文献名:	ファイル

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# (特記事項) 特記事項

## ②【発明等説明書(明細書素案)】

明細書	図面	その他	
- 分割アノード+含浸材 特 <u>許.doc</u> サイズ: 35840パイト	<u>- 分割アノー</u> サイズ:44544バイ		
添付者:hiroyuki kanda/e/ebara_jp 添付日:2003/12/26	添付者:hiroyuki k 添付日:2003/12/	添付者: 添付日:	

▲依頼元担当一記入	依賴元上長一記入	▼事業本部特許部一記入	▼ワークフロー情

## ▼依頼元上長一記入欄

# ②【発明部門評価】

発明の性質		B:新事業製品・技術の発明
①先行技術に対する (品質向上、コスト)	支術的優位性 削減、省エネ効果等)	3. 相当優位
②課題・手段の重要性	生	4. 最重要
③独創性 (発明の性質がCのときのみ必須)		0. 未評価
④本発明が対象とする製品の開発計画 (開発、販売など) (発明の性質がA又はBのときのみ必須)		3. 開発計画の中間段階である
⑤本発明が製品に占め	かる重要度(割合)	4. 大きい
⑥依賴元総合評価		4. 最重要
評価点		56点
出願要否	要(理由:)	
外国出願要否	要	
特記事項		



## ▲依頼元担当一記入 ▲依頼元上長一記入 事業本部特許部一記入 ▼ワークフロー情

### ② ▼事業本部特許部一記入欄

部長記入欄	担当	坂口さん
	コメント	めっき膜の均一化のみを述べていますが、後工程に望ましい膜厚分布とする ことを含めておいてください。方法クレームもこの考えのものを追加しておいて ください。
担当者記入欄	コメント	〈発明の効果〉で述べているように例えば、後工程に望ましい膜厚分布とすることの具体例等を明細書に記載しておく方がよい。また、方法クレームには上記の具体的手法を追加した方がよいと思います。
	添付文書	
	作業終了サイン	坂口:終了

▲依頼元担当一記入 ▲依頼元上長一記入 ▲事業本部特許部一記入 ワークフロー情



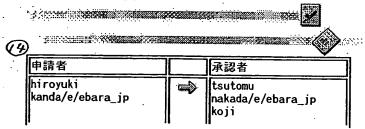
## ▼ワークフロー情報

現在のユーザ: seimitsu zzchizai/e/ebara jp

現在の承認者:

要求 ID NTNN-5UL5AZ

ステータス: 完了



mishima/e/ebara\_jp seimitsu zzchizai/e/ebara\_jp masamichi nakashiba/e/ebara\_jp

▼承認者情報

Ø.

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申請者名	申請日	CCメール .	
hiroyuki kanda/e/ebara_jp	2003/12/26		

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	承認者役職	承認者名	承認期限	ステー タス	承認日	CCメール
	発明者上司	(承認不要)				
	リエゾン	tsutomu nakada/e/ebara_jp	2004/01/02	承認	2003/12/26	
	部長	koji mishima/e/ebara_jp	2004/01/02	承認		masao hodai/e/ebara_jp kunihito ide/e/ebara_jp hiroyuki kanda/e/ebara_jp satoru yamamoto01/e/ebara_jp seiji katsuoka/e/ebara_jp masaaki kimbara/e/ebara_jp masaji akahori/e/ebara_jp sota nakagawa/e/ebara_jp
	事業部側特 許部門	seimitsu zzchizai/e/ebara_jp	2004/01/12	承認	2004/01/13	·
	知的財産部- 部長	masamichi nakashiba/e/ebara_jp	2004/01/20	受入	2004/01/13	

### ❤コメント

CN=tsutomu nakada/0U=e/0=ebara\_jp 承認 2003/12/26 12:49:20 承認します CN=koji mishima/0U=e/0=ebara\_jp 承認 2004/01/05 10:26:25 めっき限定ではなく電解装置を対象とすること、第一項からシールの限定は削除すること。 CN=seimitsu zzchizai/0U=e/0=ebara\_jp 承認 2004/01/13 09:41:47 承認します。 CN=masamichi nakashiba/0U=e/0=ebara\_jp 受入 2004/01/13 11:38:55

◆アクション

To the menu for the dept. of the inventor(s) To the menu for Patent Dept. of the Group

Confidential

To add data to the temporarily saved form or to approve/refuse the form, click the [Edit] link above.

### Notification of Invention

Filed on: 2003/12/26

Intellectual Property Dept's receipt No.: K1040012 Date of receipt: 2001/01/13

For the responsible person in the requesting side	▼ For the boss of the requesting side	▼ For Patent Dept. of the Group	▼ Workflow information
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### ▼For the responsible person in the requesting side

1	[Information	of the rec	uestina	sidel
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Company name ★	01 Ebara Corporation	Dept.	V350 Development Department 1, Process Development Office 2				
Reference No. (Doc.No.)							
Responsible person		Company category + Employee No.: 0121559 Name: Hiroyuki Kanda TEL: 7247					
Group name★	PP Precision Machine	ery					

2 [Basic information]

Domestic/foreign ★	Domestic						
IP category ★	Patent '						
Title of the invention	Plating apparatus and method of substrate						
Keyword							
Names of related products							
Related job code	No. 1	No. 2					
Job No.	L-						
Requesting dept.	Dept. name						
About service invention ★	1. Yes						

3 [For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

	Company	Employee No./name	Extension No./post	Dept.	Share of	Living	Representative
		(Company category + employee No.)	No./E-mail address	code/name	the rights (%)	in U.S.	inventor 🛨
1	EK0001/	0121559	Extension No.: 7247	V350	20		Check
1	Ebara	Hiroyuki Kanda	Post No.: 716-2	Developme	1		
	Corporation		E-mail:	nt		. , ,	<u> </u>
1			kanda.hiroyuki@ebara	Department			: 1
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2	EK0001/	0113010	Extension No.: 9427	V350	20		
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1		ļ	mishima.koji@ebara.c	Department			
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3	EK0001/	0120308	Extension No.: 9088	V510	20		-
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	Corporation		E-mail:	nt .			1
		_	morisawa.shinya@eba	Department			
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4	EK0001/	012105	Extension No.: 9488	V370	20		•
	Ebara	Junji Kunisawa	Post No.: 718	Design			
1	Corporation		E-mail:	Department			
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1144410 01 41			•				B. Invention	echnologies	
(1) Technical superiority over prior art							3. high	ecimologies	
(Quality improvement, cost reduction, energy saving, etc.)								•	
(2) Severity of challenge/means							4. Highest		
(3) Originality (Enter data if the nature of the invention is C.)						O. Null			
(4) Project for products based on the invention (development,						3. Middle s	stage of development		
sales, etc) (Enter data if the nature of the invention is A or B.)							plan		
5) Importance of the invention to the products						4. Hlgh			
	Overall judgment by the requesting side						4. Most im	portant	
Rating of ev							56 points		
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Special note	)	•					L		

▲ For the responsible person in the	For the boss of the requesting side	For Patent Dept. of the Group	<b>▼</b> Workflow information
requesting side			

13 ▼For Patent Dept. of the Group

General	Responsible	Mr. Sakaguchi
manager:	Comment	Specification describes only uniform plating in datail, but please modify to include controlling film thickness distribution suitable for the following process. Add method claims in this way.
Responsible person:	Comment	As described in <effect invention="" of="" the="">, detailed embodiment of film thickness control suitable for the following process should be added to the specification. Specific method should be added to method claims.</effect>
	Attachment	· · · · · · · · · · · · · · · · · · ·
	Sign of completion	Sakaguchi: Completed

▲ For the responsible	▲ For the boss of the	▲ For Patent Dept. of	Workflow information
person in the	requesting side	the Group	
requesting side			

### **▼**Workflow information

Current user: seimitsu zzchizai/e/ebara\_jp

Current approver:

Request ID NTNN-5UL5AZ

Status: completed

14

Requested by:	Approved by:
mizuki nagai/e/ebara_jp	tsutomu nakada/e/ebara jp
	koji mishima/e/ebara jp
	zzchizai/e/ebara jp
·	masamichi nakashiba/e/ebara ip

### **▼**Approver information

15

Requested by:	Requested on:	 CC mail	
hiroyuki kanda/e/ebara jp	2003/12/26		·
16			

Patent Dept. of the Group	seimitsu zzchizai/e/ebara jp	2004/01/12	Approved	2004/01/13	
Potent Dent of					kanda/e/ebara_jp seiji katsuoka/e/ebara_jp masaaki kimbara/e/ebara_jp masaji akahori/e/ebara_jp sota nakagawa/e/ebara_jp
General manager	koji mishima/e/ebara_jp	2004/01/02	Approved	2004/01/05	masao hodai/e/ebara_jp kunihito ide/e/ebara_jp hiroyuki
Liaison	tsutomu nahada/e/ebara_jp	2004/01/02	Approved	2003/12/26	
Boss of the inventor	(Approval not necessary)				
Position of the approver	Name of the approver	Deadline of the approval	Status	Date of approval	CC mail

General	masamichi	2004/01/20	Received	2004/01/13	 	
manager of	nakashiba/e/ebara_jp	· · ·				
Intellectual	<del></del> .					
Property Dept.						

### **▼**Comment

CN=tsutomu nakada/0U=e/0=ebara\_jp Approved 2003/12/26 12:49:20 I approve. CN=koji mishima /0U=e/0=ebara\_jp Approved 2004/01/05 10:26:25 Modify specification and claims to include electrolytic apparatus not only plating tool. The limitation of the seal should be deleted from the

CN=seimitsu zzchizai /0U=e/0=ebara\_jp Approved 2004/01/13 09:41:47 I approve. CN=masamichi nakashiba /0U=e/0=ebara\_jp Received 2004/01/13 11:38:55

発明部門メニューへ 事業本部特許部メニューへ

社外秘

一時保存したものに追記する場合、または、承認/否認する場合、上部の「編集」リンクをクリックしてください。 **発明等届出書** 

届出日:2003/11/14

知的財産部受付番号:K1040028 受付日:2004/01/19

|依頼元担当一記入機||▼依頼元上長一記入機||▼事業本部特許部一記入機||▼ワークフロー情報

★は必須入力項目です。

### ▼依頼元担当一記入欄

② 【依頼元情報】

会社★	01 荏原製作所	部門	V350ニプロ開発ー		
整理番号(Doc.No.)					
担当者	会社区分+社員番号:0121559	氏名	:神田 裕之	TEL: 7247	
本部名★	PP 精密·電子				

②【基本情報】

FOR ALL LINE AND	
国内/外国★	国内
四法★	特許
発明の名称★	基板のめっき装置及びその方法
キーワード	
関連する製品名	
関連する業務コード	その1 その2
研番	L-
研番依頼元	部署名
職務発明について★	1.職務発明である

③ 【荏原製作所/荏原総合研究所/荏原電産の発明者】

	会社	社員番号/氏名 名 (会社区分+社 員番号)	内線NO/ポストNO/E-mail	所属部門コ ード/名称	発明者 の持分 (%)	米国在住	代表発 明者 ★
1	EK0001/ 荏原製作 所	神田 裕之	内線NO : 7247 ポストNO : 716−3 E−mail : kanda.hiroyuki@ebara.com	V350ニプロ 開発ー	E		Check
FI 1	EK0001/ 荏原製作 所	倉科 敬一	内線NO : 9293 ポストNO : 716−3 E−mail : kurashina.keiichi@ebara.com	V350ニプロ 開発ー	E		
3	EK0001/ 荏原製作 所	鈴木 秀直	内線NO : 9025 ポストNO : 716−3 E−mail : suzuki.hidenao@ebara.com	V350ニプロ 開発ー	10		
	EK0001/ 荏原製作 所	長井 瑞樹	内線NO:9293 ポストNO:716 E-mail:nagai.mizuki@ebara.com	V350ニプロ 開発ー	E		

5 EK0001/ 0113010			1 1	_ 8 *		
	内線NO:9427 ポストNO:716	. ( . "@ .	V350二プロ   開発一	]  E		
所   版当無しおよび予定発明者	E-mail: mishima	a.koji@ebara.com	<u> </u>		•	
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					4	
【荏原総合研究所·荏原電産以	以外の関連会社/	社外の発明者】	*.	·		
会社コード/名称	氏名	TEL/E-mail	所屬	属部門またに	は住所	国在住
1		TEL : E−mail :		•		
該当無しおよび予定発明者					<del></del>	
				·		
【出願人】						
コード/名称(略称)	住所連絡先など			権利持	費用負	手続担
·		. ,		分(%)	担(%)	当 ★
1 EK0001 荏原製作所	本社住所: 連絡先住所: 〒			E	E	担当
(上)水安(F/7)	部署: 担当:		,			
	TEL: FAX: E-MAIL:					
該当無しおよび予定出願人						
【出願緩急】					•	
LU 55 69 A	111 TT X 40 -	7/2020 /40 /40				
出願緩急	出願希望日	2003/12/12	[as + 4			
<b>山</b> 閣板忌	理由	2003/12/12	発表先 発表日	l <b>:</b>		
<b>正</b> 關 板 忌		2003/12/12	発表5 発表日 その他	l <b>:</b>		
【契約関係】			発表日	l <b>:</b>		
		種類	発表日	l <b>:</b>		
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②【関連出願公知例】

当	せの関連出願公知例★	有
1	特願2000-285740号 または文献名 :	ファイル
2	号 または文献名:	ファイル
3	号 または文献名:	ファイル
4	号 または文献名:	ファイル
	号 または文献名:	ファイル

他有	せの関連出願公知例★	有		
	特願2000-285740号 または文献名 :	ファイル		
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❷ 【特記事項】

特記事項 2000-285740は荏原と東芝の共願であるが、今回の特許は荏原の出願している擦りめっきを加えたものである。今回の出願は荏原単願で行いたいため、2000-285740の位置付けをどうするかご相談したい。

() 【発明等説明書(明細書素案)】

明細書	図面	·	その他	
	<u>- 2ステップ・</u> サイズ : 68608バイ			
II	添付者:hiroyuki k 添付日:2003/11/		添付者: 添付日:	

▲依頼元担当一記入欄 依頼元上長一記入欄 ▼事業本部特許部一記入欄 ▼ワークフロー情報

### ▼依頼元上長一記入欄

(72) 【発明部門評例	価】	評	門	部	明	発	[	72)	(
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発明の性質	B:新事業製品・技術の発明				
①先行技術に対する技術的優位性 (品質向上、コスト削減、省エネ効果等)	3. 相当優位				
②課題・手段の重要性	4. 最重要				
③独創性 (発明の性質がCのときのみ必須)	0. 未評価				
④本発明が対象とする製品の開発計画 (開発、販売など) (発明の性質がA又はBのときのみ必須)	4. 開発計画の初期段階である				
⑤本発明が製品に占める重要度(割合)	3. やや大きい				
⑥依頼元総合評価	3. 重要				
評価点	42点				
出願要否 要(理由:)					
外国出願要否					
特記事項					

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### ② ▼事業本部特許部一記入欄

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	コメント	液交換などがシード補強に該当しないか注意してみてください。含浸体とウェ ハとの間のめっき駅量が増加し、アノードより高い位置までめっき液が満たされ る場合に、他社特許との関連で問題がないか確認しておいてください。
担当者記入欄	コメント	本願は含浸めっき+擦りめっき+めっき液添加剤濃度可変とする組合わせ特 許であって、出願要と判断いたします。
	添付文書	
	作業終了サイン	坂口:終了

▲依頼元担当一記入欄 ▲依頼元上長一記入欄 ▲事業本部特許部一記入欄 ワークフロー情報

## ▼ワークフロー情報

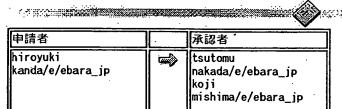
現在のユーザ: seimitsu zzchizai/e/ebara\_jp

現在の承認者:

要求 ID NTNN-5TA4SN

ステータス: 完了

\*\* (%:2541#1**03888888**18)



▼ 承認者情報

(3)

<u> </u>		
申請者名	申請日	CCメール
hiroyuki kanda/e/ebara_jp	2003/11/14	

6

承認者役職	承認者名	承認期限	ステー タス	承認日	CCメール
発明者上司	(承認不要)				
リエソン	tsutomu nakada/e/ebara_jp	2003/11/21	承認	2003/12/26	
部長	koji mishima/e/ebara_jp	2004/01/02	承認		masao hodai/e/ebara_jp kunihito ide/e/ebara_jp hiroyuki kanda/e/ebara_jp satoru yamamoto01/e/ebara_jp seiji katsuoka/e/ebara_jp masaaki kimbara/e/ebara_jp masaji akahori/e/ebara_jp sota nakagawa/e/ebara_jp
事業部側特 許部門	seimitsu zzchizai/e/ebara_jp	2004/01/12	承認	2004/01/16	
知的財産部- 部長	masamichi nakashiba/e/ebara_jp	2004/01/23	承認	2004/01/19	

### **▼**コメント

CN=tsutomu nakada/0U=e/0=ebara\_jp 承認 2003/12/26 11:51:23 承認します。
CN=koji mishima/0U=e/0=ebara\_jp 承認 2004/01/05 10:52:44 第一クレームからシールは除外すること。ウェットコンタクトも網羅するため。
CN=seimitsu zzchizai/0U=e/0=ebara\_jp 承認 2004/01/16 19:20:29 承認します。
CN=masamichi nakashiba/0U=e/0=ebara\_jp 承認 2004/01/19 08:45:34

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### **Notification of Invention**

Filed on: 2003/11/14

Intellectual Property Dept's receipt No.: K1040028 Date of receipt: 2004/01/19

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person in the requesting	requesting side	the Group	l
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Never fail to fill ★-marked columns.

### ▼For the responsible person in the requesting side

[Information of the requesting side]

Company name ★	01 Ebara Corporation	Dept.	V350 Development Department 1, Process Development Office 2				
Reference No. (Doc.No.)							
Responsible person	Company category + Employee No.: 0121559 Name: Hiroyuki Kanda TEL: 7247						
Group name★	PP Precision Machine	ry					

2 [Basic information]

Domestic/foreign ★	Domestic					
IP category ★	Patent					
Title of the invention	Plating apparatus and method of substrate					
Keyword						
Names of related products	·					
Related job code	No. 1	No. 2				
Job No.	L-					
Requesting dept.	Dept. name					
About service invention ★	1. Yes					

[For inventors in Ebara Corporation/Ebara Research/Ebara Densan Ltd.]

Ť	Company	Employee No./name	Extension No./post	Dept.	Share of	Living	Representative
1		(Company category +	No./E-mail address	code/name	the rights	in U.S.	inventor ★
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Size: 5683		Size: 68608 bites				•	
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riatale of a					A. Invention for Current products/technologies		
(1) Technic	cal superiority o	over prior art			3. Considerable		
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		if the nature of the inven					
(5) Importance of the invention to the products				3. Considerable			
(6) Overall judgment by the requesting side				3. Important			
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Group

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13 ▼For Patent Dept. of the Group

General	Responsible	Mr. Sakaguchi				
manager:	Comment	Please check the draft carefully if the liquid exchange etc. will not be related to the seed repair. In the case of the liquid quantity increase and the liquid is filled up higher than anode, please check if there is any patent issue with patents of other companies.				
Responsible person:	Comment	This application is a combination of impregnation plating + scrub plating + flexible additive concentration of the plating liquid. I consider this filling is necessary.				
•	Attachment					
	Sign of completion	Sakaguchi: Completed				

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person in the	requesting side	the Group	
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### **▼**Workflow information

Current user: kenichi sasabe/e/ebara\_jp

Current approver:

Request ID NTNN-5TA4SN

Status: completed

<u> 14</u>

Requested by:	Approved by:
hiroyuki kanda/e/ebara_jp	tsutomu nakada/e/ebara_jp koji mishima/e/ebara_jp seimitsu zzchizai/e/ebara_jp masamichi nakashiba/e/ebara_jp

### **▼**Approver information

15

Requested by:	Requested on:	CC mail
hiroyuki kanda/e/ebara_jp	2003/11/14	

16			<u> </u>	<u> </u>	<u></u>	
Position of the	Name of the	Deadline of	Status	Date of	CC mail	
approver	approver	the approval		approval		
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inventor	necessary					
Liaison	tsutomu	2003/11/21	Approved	2003/12/26		
	nahada/e/ebara_jp			1		
General	koji	2004/01/12	Approved	2004/01/05	masao	
manager	mishima/e/ebara jp	200-701712	Approved	2004/01/05	hodai/e/ebara_jp	
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Patent Dept. of	seimitsu	2004/01/12	Approved	2003/01/16	l .	

the Group	zzchizai/e/ebara jp				
General manager of Intellectual Property Dept.	masamichi nakashiba/e/ebara_jp	2004/01/23	Approved	2004/01/19	

### **▼**Comment

CN=tsutomu nakada/0U=e/0=ebara\_jp Approved 2003/12/26 11:51:23 I approve.

CN=koji mishima /0U=e/0=ebara\_p Approved 2004/01/05 10:52:44 Delete seal limitation from the first claim so that it covers wet contact.

CN=seimitsu zzchizai /0U=e/0=ebara\_jp Approved 2004/01/16 19:20:29 I approve. CN=masaaki miyazaki/0U=e/0=ebara\_jp Approved 2004/01/19 08:45:34

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